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CHAPTER 1—INTRODUCTION**SECTION 1.1—BACKGROUND****1.1.1 INTERSTATE IDENTIFICATION INDEX (III) PROGRAM**

The III Program provides for the decentralized interstate exchange of Identity History Summary (IdHS) records and functions as part of the FBI Criminal Justice Information Services (CJIS) Division's Next Generation Identification (NGI) System. The National Crime Information Center (NCIC) Advisory Policy Board (APB) (currently the CJIS APB), which has oversight of the III Program, approved the Program in April 1978. Currently, all 50 states and the District of Columbia participate in the III Program.

Duplicate criminal history repositories and shared record dissemination responsibilities between III and state systems are the foundation upon which the III is built. Accordingly, the FBI shares management responsibility for the III with CJIS Systems Agencies (CSAs) that service NCIC and III users in their states. An example of a CSA is a state police organization that connects many local departments to the CJIS systems through a state computer system. CSAs sign written agreements with the FBI to confirm they will abide by the rules, policies, and procedures governing III operations. These agencies, in turn, prepare and execute similar agreements with their users. All participating agencies are thereby bound to a set of guidelines that regulate access to the III, outline the authorized uses of the system and the data derived from it, and explain the required minimum security measures.

The III provides a means of conducting national record searches for criminal justice and other purposes as specified by existing local, state, and/or federal laws. Any authorized criminal or noncriminal justice agency may access the III. The III processes name check inquiry transactions to determine if a matching record, indexed by a unique FBI Universal Control Number (UCN), is on file. If a match is found, an agency may request the subject's record by transmitting an additional inquiry using a FBI UCN or state identification (SID Number) assigned to the subject's record. Generally, records are provided to requesters within seconds over the FBI telecommunications network to the III.

Each IdHS record is supported by a fingerprint submission and is assigned a unique FBI UCN. In the 54 sole-source participating states/territories, the arresting agency submits fingerprint images to the State Identification Bureau (SIB) for processing and assignment of a SID Number. (A sole-source agency submits all information through a single conduit, such as a state repository. The term sole-source agency should not be confused with a single-source record, which indicates that a particular record has one source, or state, contributing to the subject's record. More information about sole-source agencies and single-source records is available in the Glossary portion of this document.) The SIB updates its state file and sends the arrest information to the FBI. If no prior FBI record is on file, the FBI establishes a new record in the III, assigns an FBI UCN, and creates an index of the subject's descriptors. A message is sent back to the state containing this FBI UCN. The state repository must then enter the FBI UCN into the state system at the central repository to ensure an accurate and complete III response for future record requests.

When the FBI receives an online request for a record supported by a III participating state, the III automatically sends a message through the FBI telecommunications network to the participating state's computer system. The state responds directly to the requesting agency over the International Justice and Public Safety Network (Nlets). The FBI's CJIS Division responds to requests for records for the U.S. territories and for criminal history records that III states are unable to support. For fingerprint submissions, the FBI's CJIS Division provides records for non-National Fingerprint File (NFF) states whose records are designated by a state pointer that do not respond to applicable purpose codes, and for states whose records are not designated by a state pointer (pseudo-pointer) records. Records maintained by NFF Program participants, and records maintained by states whose records are designated by a state pointer and respond to the specific purpose codes, are provided by the respective states.

Any problems or questions regarding the use of the III can be directed to the III staff at the FBI CJIS Division by e-mail to fbi-iii@leo.gov.

1.1.2 NATIONAL FINGERPRINT FILE (NFF) PROGRAM

When the III concept was adopted to decentralize criminal history record keeping in 1978, the NFF was the concept's ultimate goal. When fully implemented, the NFF will be a decentralized system that will replace the FBI's record keeping responsibility for state offenders by making state repositories primarily responsible for record dissemination and maintenance. An NFF state submits a single fingerprint image for each offender to the FBI to identify the offender at the national level. The state uses arrest fingerprint images and related disposition and expungement documents for subsequent arrests to update its own records; the state will forward only those fingerprint images that it is unable to identify to the FBI. Accordingly, state repositories will become the only sources of state criminal history records for these arrests, for both criminal and noncriminal justice purposes.

1.1.3 NATIONAL CRIME PREVENTION AND PRIVACY COMPACT ACT (COMPACT)

Most states participating in the III have varying statutes or policies that restrict the dissemination of records for noncriminal justice purposes. Because of this, the states and the federal government needed an agreement to permit interstate dissemination of national criminal history records based on federal statute, federal executive order, or state statute approved by the U.S. Attorney General. For this reason, President Clinton signed the National Crime Prevention and Privacy Compact Act (Compact) into law in October 1998. The Compact facilitates uniformity in the dissemination of records among states for noncriminal justice purposes and requires that a signatory state provide its records upon request for all authorized noncriminal justice purposes. A state must ratify the Compact prior to becoming an NFF participant. As more states join the Compact and the NFF Program grows, a greater uniformity and decentralization in the sharing of noncriminal justice information will occur.

1.1.4 PROHIBITED USE

Authorized agencies must not use the III for remotely accessing a record to be reviewed and/or challenged by the subject of the record. Record requests for this purpose must be submitted in writing to either the FBI's CJIS Division or the state of record accompanied by fingerprints.

Authorized personnel may not conduct III record inquiries without a specific purpose. It is prohibited to conduct III record inquiries on family, friends, or one's self. Such misuse is subject to sanctions against the state, as well as civil and/or criminal penalties to the person misusing the system.

1.1.5 CJIS APB COMPLIANCE EVALUATION SUBCOMMITTEE (CES) SANCTIONS PROCESS

The Compact Council at Article VI established the Compact Council (Council). The Compact Council Sanctions Committee is responsible for ensuring that use of the Interstate Identification Index System for noncriminal justice purposes complies with the Compact and with rules, standards, and procedures established by the Compact Council. As such, the Sanctions Committee reviews the results of audits conducted by the FBI of participants in the FBI's CJIS Division programs. The Sanctions Committee reviews the audit results and the participant's response to determine a course of action necessary to bring the participant into compliance and make recommendations to the Compact Council or the FBI. Additional information on the Compact Council Sanctions process is available on the Compact Council's Web site at <https://www.fbi.gov/services/cjis/the-cjis-advisory-process#Compliance-Evaluation-Subcommittee>.

SECTION 1.2—GENERAL INFORMATION

1.2.1 PURPOSES OF THIS MANUAL

This manual is intended to:

- A. Describe the III and the NFF Programs.
- B. Explain how to understand and use III and NFF messages.
- C. Provide technical and operational details to state/territorial agencies participating or planning to participate in the III and the NFF.
- D. Describe the procedures for entering, maintaining, and updating III and NFF records.
- E. Explain the FBI's special flags and record cycles and why they are important to the III and the NFF.
- F. Provide state and federal agencies with the FBI's procedures for processing responses to criminal and noncriminal fingerprint submissions that are identified with III and NFF records.
- G. Provide those states having noncriminal justice screening requirements with the options for responding to noncriminal justice fingerprint submissions.
- H. Provide additional clarifying information and details.

1.2.2 COMPONENTS OF THIS MANUAL

This manual is divided into two components: the III section and the NFF section. Each component provides general information and operational details for the respective programs. In an effort to maintain III and NFF information in a single publication versus separate technical memoranda, reports, etc., revisions to this manual will be published periodically.

In addition to the III and NFF components, this manual contains a glossary of terms, an index of acronyms and codes, and various appendices to help the user understand the III and NFF Programs. A Quick Reference Guide is also available to assist users in locating information about the inquiry, test, maintenance, unsolicited, and administrative messages used by the III and NFF Programs. Many of the codes and terms used in the III and NFF Programs can also be found in the *NCIC Operating Manual* and the *NCIC Code Manual*. In addition to these resources, III users may also obtain assistance by contacting the III staff at <fbi-iii@leo.gov>.

SECTION 1.3—FILE/TECHNICAL PROBLEMS

1.3.1 INTRODUCTION

Occasionally, technical or other types of problems may prevent the III from transmitting an immediate response to an inquiry or a record request (as detailed in [Chapter 3](#)) or a maintenance message (as detailed in [Chapter 5](#)). Whenever file or technical problems occur in the transmittal of a response, the III will notify the user with a message containing a response header beginning with GL01.

1.3.2 RESPONSE WHEN THE III IS EXPERIENCING A FILE PROBLEM

When the III experiences problems responding to an inquiry or record request, it will immediately transmit the example response provided below. The response will always begin with the response header characters GL01.

```
GL01HEADERXXXX01234
VAVSP0000
THE FBI IS UNABLE TO PROVIDE A RESPONSE FOR FBI/9030300. FBI PERSONNEL
WILL RESEARCH THE PROBLEM AND YOU WILL BE ADVISED.
END
```

As appropriate in this type of response, the III will replace the FBI UCN with a SID Number. For search inquiry (QH) responses, the III will replace the FBI UCN with a NAM/(name) and the other search fields from the inquiry.

1.3.3 RESPONSE WHEN THE NCIC ENCOUNTERS A TECHNICAL PROBLEM WITH THE TRANSMISSION OF A RESPONSE FROM THE III

When a problem is encountered in the transmission of a response from the III, it will transmit immediately the example response provided below via the FBI telecommunications network. The response will always begin with the response header characters GL01.

```
GL01HEADERXXXX01234
VAVSP0000
THE FBI EXPERIENCED A TECHNICAL PROBLEM WHILE PROCESSING YOUR REQUEST
FOR FBI/9040400. IF YOU DID NOT RECEIVE YOUR RESPONSE, PLEASE MAKE
ANOTHER REQUEST.
END
```

As appropriate in this type of response, the III will replace the FBI UCN with a SID/(SID Number). For QH inquiry responses, the III will replace the FBI UCN with a NAM/(name) and the other search fields from the inquiry.

1.3.4 RESPONSE WHEN THE III IS IN SERVICE BUT UNABLE TO ACCEPT MESSAGES

When an inquiry or record request message has been in the system's queue for 3 hours and the III is unable to process the message, it will transmit the example response provided below. Upon transmission of this response, the III will purge the inquiry or record request message. The response will always begin with the response header characters GL01. Maintenance messages remain in the queue until the III can accept them.

```
GL01HEADERXXXX01234
VAVSP0000
THE FBI EXPERIENCED A TECHNICAL PROBLEM WHILE PROCESSING YOUR REQUEST
FOR FBI/9015174. IF YOU DID NOT RECEIVE YOUR RESPONSE, PLEASE MAKE
ANOTHER REQUEST.
END
```

As appropriate in this type of response, the III will replace the FBI UCN with a SID Number. For QH inquiry responses, the III will replace the FBI UCN with a name (NAM) and data from the other search fields from the inquiry.

1.3.5 RESPONSE WHEN THE III ENCOUNTERS A TECHNICAL PROBLEM

Occasionally, the III cannot provide a response to the incoming message or cannot provide an immediate GL01 response due to technical problems. In the early hours of each workday, the III software reviews the previous day's messages to detect any message for which a response was not generated. When no response was generated for an inquiry, a record request, or a maintenance message, the III will transmit the example response provided below. The GL01 response provides the time (in Eastern Time) and the date when the message was received.

```
GL01HEADERXXXX01234
VAVSP0000
DUE TO A TECHNICAL PROBLEM, THE FBI WAS UNABLE TO PROVIDE A RESPONSE
FOR FBI/9015174. YOUR REQUEST WAS RECEIVED AT 2115 EST ON 2014/10/07.
PLEASE MAKE ANOTHER REQUEST IF YOU HAVE NOT ALREADY DONE SO.
END
```

As appropriate in this type of response, the III will replace the FBI UCN with a SID Number. For QH inquiry responses, the III will replace the FBI UCN with a NAM and data from the other search fields from the inquiry. For maintenance messages, the III will replace the FBI UCN with the record identifiers (date of birth [DOB] or SID Number and FBI UCN) and the Message Field Code (MFC) data included in the incoming maintenance message.

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CHAPTER 2—PARTICIPATION REQUIREMENTS

SECTION 2.1—INTRODUCTION

2.1.1 GENERAL INFORMATION

States and territories desiring to participate in the Interstate Identification Index (III) Program must meet specified standards prior to participation. These standards are covered in [Section 2.2](#) of this chapter and include requirements for tenprint identification, record content and III maintenance, record response, and accountability. Among the standards is the requirement that a state must be able to provide its state records automatically via the National Law Enforcement Telecommunications System (Nlets) upon receipt of a III criminal history record request message (\$.A.CHR). [Section 2.6.2](#) of this chapter describes the \$.A.CHR message and the agency's requirements for properly formatting an Nlets message to identify the record and the requester.

2.1.2 TESTING CAPABILITIES

The nonoperational environment (NOE) is available to III/National Fingerprint File (NFF) participating and nonparticipating states for III/NFF testing purposes. The NOE supports the TI\$ testing protocol, which allows states to test the receipt of \$.A. unsolicited messages. Additional information about the TI\$ testing message is available in [Section 2.3](#), and information about unsolicited messages is available in the Quick Reference portion of this manual. States must accept and process the various unsolicited messages transmitted as the III database is updated. [Section 2.3](#) of this chapter provides details for each of the unsolicited messages used for testing. To enable states to use the testing capability, the FBI's III staff has established test records (single-source and multi-source) in the III for each state.

The contents of these records are coordinated with individual states' records. Each of these records must be established in the state's production database prior to III participation. Test records, discussed in [Section 2.3](#) of this chapter and in [Appendix D](#), allow a state to receive and test each of the unsolicited messages, including the \$.A.PES/PEM sent by the III to the NFF participating states. (Additional information about the \$.A.PES message [Advise NFF State of Erroneous Single-Source Submission] and the \$.A.PEM message [Advise NFF State of Erroneous Multi-Source Submission] is available in [Chapter 14, Section 14.2.1](#), of this document.) The NOE also provides a test environment that supports testing of all III maintenance messages that can be generated by states and for the testing of the Criminal Print Ident (CPI) message that all NFF states must generate.

Of the 13 unsolicited messages, states must be able to process five basic messages automatically. The five messages are:

1. \$.A.CHR (Criminal History Record Requested).
2. \$.A.NPR (No Prior Record - NCIC III Record Established).
3. \$.A.PIR (Prior Record - SID Number Entered in NCIC III Record).
4. \$.A.MSO (Multi-Source Offender).
5. \$.A.SSO (Single-Source Offender).

The remaining messages indicate errors or exception conditions and should be handled manually or automatically upon receipt.

2.1.3 OTHER CAPABILITIES

In addition to the unsolicited messages transmitted, as new records are entered and existing records are updated or removed from files, the III provides participants with the capability to perform some modifications and update functions. Each of these messages and their uses are discussed in [Chapter 5](#) of this manual.

Under normal record request processing, when a QR (Query Record) record request message is received from a state database for a record containing its State Identification (SID) Number, the III will not transmit a \$.A.CHR unsolicited message to the state. Instead, the state will receive a response indicating that the record can be obtained from files within its state. An example of this type of response is furnished in [Chapter 3](#) of this manual. However, for file maintenance purposes, the authorized III state agency may need to see the corresponding record maintained by the FBI's Criminal Justice Information Services (CJIS) Division. A QR record request message containing Purpose Code A will produce only the data on file at the FBI's CJIS Division for that state. The ZI inquiry message, also described in [Chapter 3](#) of this manual, is available only to III participants. This message provides information such as the type of pointer on file for the state (SID Number or FBI pseudo-pointer) and the date the pointer was entered or removed.

2.1.4 PREREQUISITES FOR III PARTICIPATION

Prior to becoming a participant, a state should already be placing its SID Number on fingerprint submissions to the FBI's CJIS Division. In addition, the state must advise the III staff at the FBI's CJIS Division of the following:

- A. The date (which must be on a Sunday) the state requests to begin participation.
- B. The Originating Agency Identifier (ORI) to be used by the state for file maintenance messages and Purpose Code A messages.
- C. Whether the state's SID Number is to be zero-filled if the state's SID Number is composed of less than 10 characters. If required, the zero(s) is inserted after the state code and before any other characters, e.g., Maryland SID 12345 would be entered as MD00012345.
- D. The date of the arrest (DOA) cutoff date wherein the state will begin to receive unsolicited messages for arrests that occur on or subsequent to that date. Some states use January 1 of the year in which they become a participant as their DOA cutoff date, others use the date they became a sole-source contributor, and some states do not use a date. Agencies that do not establish a cutoff date want to be notified every time a record containing their data is entered into the III regardless of the date of arrest.

- E. Whether the state wants the FBI's CJIS Division to discontinue mailing paper responses.
- F. Whether the state wants two additional III synchronizations, along with the required biannual synchronizations. More information on synchronizations is provided in [Chapter 4](#) and [Appendix S](#) of this manual.
- G. The medium and specifications for III synchronizations. [Chapter 4](#) and [Appendix S](#) of this manual furnish more information on this topic.
- H. The purpose codes the state can support based on state law. [Chapter 3](#) provides details concerning purpose codes.
- I. The III operational and technical primary contacts for its state.
- J. Whether the state wants the CFN (Applicant Fingerprint Submissions Not Identified) and/or CFR (Applicant Fingerprint Submissions Identified) messages.
- K. Whether the state requires the Nlets Control Field (NCF) data and if so, the positions of the data.
- L. The line designated as the preferred line to receive III unsolicited messages if the state has more than one NCIC telecommunications line.

SECTION 2.2—MINIMUM REQUIREMENTS

To participate in the III, a state must meet the following standards:

2.2.1 TENPRINT IDENTIFICATION MATTERS

- A. The state must have a central repository for records with tenprint identification capability, i.e., the ability to match tenprint impressions. Although full technical fingerprint search capability is desirable, it is not required.
- B. The state's central repository must serve as the sole conduit for the transmission of arrest, judicial, and correctional fingerprint impressions for criterion offenses within the state to the FBI's CJIS Division (for sole-source submissions). Submission of related final disposition reports and expungements to the FBI's CJIS Division via the central repository is desirable. Sole source submission of information to the FBI's CJIS Division should not be unduly delayed by the state agency.
- C. The state's central repository must maintain the subject's fingerprint impressions or a copy of them as the basic source document of each indexed record to support each arrest event in the Identity History Summary (IdHS).
- D. The central repository must agree to continue submitting to the FBI's CJIS Division all criterion arrest, court, and correctional fingerprint impressions and, when possible, the related final disposition reports.

2.2.2 RECORD CONTENT AND III MAINTENANCE

Participating agencies must adhere to the following criteria concerning record content and III maintenance:

- A. Each record maintained by the state must contain all known arrest, disposition, and custody/supervision data for that state.
- B. The state must remove or expunge the SID Number from a III record when the corresponding record data no longer exists at the state level.
- C. The state must conduct a regularly scheduled audit to identify discrepancies and synchronize III records pointing to the state's database.
- D. The state must maintain records at the highest possible level of completeness, accuracy, and timeliness.

2.2.3 RECORD RESPONSES

Participating agencies must adhere to the following criteria concerning record responses:

- A. The state must respond immediately via Nlets to III record requests with the record or an acknowledgment and a notice to indicate when the record will be provided.
- B. The state must translate alphabetic and/or numeric codes contained in record responses to literal words or logical abbreviations so the responses are easily understood.
- C. The state must not include in its III responses any out-of-state criminal history record information (including federal information) maintained in its files.

2.2.4 ACCOUNTABILITY

Participating agencies must adhere to the following criteria concerning accountability:

- A. A single agency within each state must be responsible for ensuring that the standards of participation are met.
- B. The state must maintain records and disseminate information in accordance with the civil and constitutional rights of the individuals reflected in the records.
- C. The state agency must execute an NCIC user agreement with the FBI's CJIS Division that complies with the standards of participation.

SECTION 2.3—TESTING

2.3.1 INTRODUCTION

The Next Generation Identification NOE is available to III/NFF participating and nonparticipating states for III/NFF testing purposes. The NOE supports the TI\$ (Test Receipt of III Unsolicited Messages) testing protocol that enables states to test the receipt of \$.A. unsolicited messages. In addition, the NOE provides an environment that supports testing of all III maintenance messages that can be generated by states and testing of the CPI (Criminal Print Ident) message that all NFF states must generate.

States interested in testing the receipt of \$.A. unsolicited messages via the TI\$ message must follow the guidelines provided in Sections [2.3.2](#), [2.3.3](#), and [2.3.4](#) of this chapter. States interested in using the NOE for non-TI\$ test purposes must first contact the III staff. A III staff member will coordinate testing arrangements with the CJIS Division's Information Technology Management Section (ITMS). A member of the ITMS will furnish the state with the proper Internet protocol address and test data set. ITMS staff will schedule a test based on system workload and priorities.

2.3.2 TI\$ MESSAGE TO GENERATE TRANSMISSION OF \$.A. MESSAGES

To allow testing without risking the integrity of its database, the FBI requests that each state planning to participate in the III program provide data that the FBI can use to generate a single-source and a multi-source test record. [Appendix D](#) of this manual lists the FBI UCNs of the single-source and multi-source test records assigned to each state and to the FBI's CJIS Division. If a state is unable to provide data for the test records, the III staff at the FBI's CJIS Division can create test records for the state and make them available for the state's database.

The TI\$ message key and the state's test records (either single-source or multi-source) can be used to test receipt of III unsolicited messages (\$.A.). The following example provides the format for TI\$ messages. The FBI UCN and type of \$.A. unsolicited message to be received are the only fields that must be preceded by a Message Field Code (MFC). Two hyphens (--) in the MFC column indicate mandatory positional fields not requiring an MFC.

Message:

```
2L01HEADERXXXX01234.TI$.FL0370100.FBI/9003000.TYP/NPR
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
TI\$.	Message Key	--

FL0370100.	Designated State Agency Identifier	--
FBI/9003000.	FBI UCN assigned to one of the state's test records	FBI/
TYP/NPR	Type of \$.A. message to be received	TYP/

2.3.3 TYPES OF UNSOLICITED MESSAGES THAT CAN BE TESTED USING THE TI\$ MESSAGE KEY

The Type (TYP) Field in the TI\$ message must consist of three alphabetic characters designating the type of \$.A. message to be received. A state can receive all unsolicited messages in response to a single TI\$ message by entering ALL in the TYP Field. In response to the TYP/ALL TI\$ message, the III will transmit each \$.A. message separately. If the state desires to test individual \$.A. messages, it must use the specific three-character message type.

The following list provides the \$.A. unsolicited message types, brief definitions of the messages, and references to the chapters in this manual that contain detailed discussions of the messages.

<u>Message Type</u>	<u>Definition</u>	<u>Chapter</u>
CFN	Applicant Fingerprint Submissions Not Identified	6
CFR	Applicant Fingerprint Submissions Identified	6
CHR	Criminal History Request Notification	3
CON	FBI Number Consolidation	5
DEC	Deceased-SID Number Retired	5
EXP	FBI Number Expunged	5
EXS	SID Number Expunged	5
MSO	Multi-Source Offender Status	4
NMS	SID Number Consolidation	5
NPR	No Prior Record-III Record Established	4

PEM	Advise NFF State of Erroneous Multi-Source Submission	14
PES	Advise NFF State of Erroneous Single-Source Submission	14
PIR	Prior Record-SID Number Entered in III Record	4
RNP	SID Rejected-No Prior III Record	4
RPR	SID Rejected-Prior III Record	4
SSO	Single-Source Offender Status	4

A positive response to a TI\$ message will look like a \$.A. unsolicited message. The data in the \$.A. message(s) will pertain to the record identified by the FBI Universal Control Number (UCN) in the TI\$ message.

NOTES:

1. The Explanation (XPL) Field in a \$.A.DEC message will contain data concerning the identity of the agency reporting a subject's death and the date of death.
2. The format of a \$.A.CON message requires two SID Numbers and two FBI UCNs. The first SID and FBI UCN in the message will be those contained in the test record identified by the TI\$ message. The second SID and FBI UCN will be taken from the state's other test record.
3. A \$.A.NMS format requires two SID Numbers. The first SID Number will be extracted from the test record identified in the TI\$ message. The second SID Number will be taken from the state's other test record.
4. A \$.A.CHR message may include an Nlets Control Field (NCF). To test the receipt and processing of this field, a state must transmit a TI\$ message containing the FBI UCN of its single-source test record. The III builds the NCF using positions 5 through 14 or 10 through 19 of the incoming message header. More information on this topic can be found in [Appendix E](#) of this manual.
5. The optional address fields (DPT, BLD, ADR, CIS, and ZIP) of a \$.A.CHR message will contain the address of the III staff at the FBI's CJIS Division. The address fields will display only for the states' single-source test records.
6. Only NFF states use PES and PEM unsolicited messages. These messages advise states that their SID Numbers are already established in the III and indicate by

message type whether the records are single-source (\$.A.PES) or multi-source (\$.A.PEM).

7. States can receive CFN and CFR unsolicited messages in response to individual TI\$ transactions for these messages. States will not receive these messages by entering ALL in the TYP Field.

2.3.4 \$.A.CHR UNSOLICITED MESSAGE RESPONSE TO A TI\$ MESSAGE

The following example depicts a \$.A.CHR unsolicited message response to a TI\$ message:

```
$.A.CHR.HDR/2L01123456JLJ000000.NCF/123456JLJ.TME/1609.TMZ/EDT.DTE/
20141018.ORI/DCFBIWA10.SID/AL0000001.FBI/9666000.NAM/RECORD,TEST
AL.PUR/C.TOS/BASED ON FBI NUMBER ONLY.ORT/NCIC INVEST & OPER ASSIST
UNIT/CJIS.DPT/III STAFF.ATN/TI$ TEST.BLD/MOD C-3.ADR/1000 CUSTER HOLLOW
ROAD.CIS/CLARKSBURG, WV.ZIP/26306.CRIMINAL HISTORY REQUESTED
```

The format for the \$.A.CHR message via the TI\$ test file will allow the state to enter a purpose code (PUR) to enable a state to test all allowable purpose codes of A, C, D, F, I, J, R (NFF only), S, and X. Agencies must use the following format:

```
2L01HEADER.TI$.AL003065Y.FBI/9666000.TYP/CHR.PUR/X
```

If no purpose code is entered, the TYP/CHR will generate a Purpose Code C \$.A.CHR.

2.3.4.1 OPTIONAL ACCEPT ACKNOWLEDGMENT TO A TI\$ MESSAGE

The positive response to a TI\$ message is a \$.A. unsolicited message. However, some state databases may additionally require an ACCEPT message to acknowledge that the FBI's CJIS Division received the TI\$ message. This ACCEPT message is available to the state upon request to the III staff at the FBI's CJIS Division.

2.3.4.2 REJECT MESSAGES TO A TI\$ MESSAGE

When the TI\$ message contains any of the errors listed below, the III will return a multi-line reject message to the initiating agency. The III will generate a maximum of seven different types of rejects for any one TI\$ request.

Inquiry:

```
2L01HEADERXXXX01234.TI$.FL0370100.FBI/9003000.TYP/FPS
```

Response:

```
JL01HEADERXXXX01234  
FL0370100
```

```
REJECT TI$.FBI/9003000.TYP/FPS  
FOR THE FOLLOWING REASON(S)  
    INVALID TYP  
END
```

The III could reject a TI\$ message for the following reasons:

1. Invalid FBI UCN—FIELD ERROR FBI.
2. FBI UCN valid, but not assigned to a test record—FIELD ERROR FBI.
3. Invalid type code—FIELD ERROR TYP.
4. Multiple type fields—DUPLICATE TYP.

If the TI\$ message contains an FBI UCN assigned to a test record of a state other than the one initiating the message, the III will transmit the following single line reject message:

```
JL01HEADER  
AL003065Y  
REJECT NOT AUTHORIZED
```

The above reject message phrases apply to TI\$ messages. [Appendix C](#) of this manual describes how the III identifies errors relating to a header, a message key, an ORI, the duplication or validity of an MFC, and if no data are included for an MFC.

SECTION 2.4—PARTICIPATION OPTIONS

2.4.1 INTRODUCTION

This section outlines the decisions that a state or territory must make prior to participating in the III. To allow time for the necessary programming changes at the FBI's CJIS Division, a state must provide the III staff with information pertaining to its III participation start-up at least 4 months before participation.

2.4.2 PARTICIPATION START DATE

The FBI's CJIS Division implements programming changes governing state III participation and access on Sundays. To ensure a state is able to begin transmitting and receiving III messages on its requested III participation start date, the state must request a start date occurring on a Sunday.

2.4.3 POINTER DATA

Each criminal history record maintained in the III includes the III pointer data. The pointer data identifies the state and federal agencies that contribute information to an individual's record and indicates whether the contributor or the FBI is responsible for disseminating the various portions of the record. If a III state is responsible for disseminating its record for a subject, the pointer will be the active state SID Number in the III. If the FBI's CJIS Division is responsible for disseminating an IdHS record for a subject in a state or territory not participating in the III or for a III participant that has not assumed responsibility for that particular record, the III pointer will be an FBI pseudo-pointer. The FBI pseudo-pointer consists of the state abbreviation (e.g., VA for the state of Virginia), followed by two asterisks and the six-character numeric master date of birth for the record subject. When the FBI's CJIS Division is responsible for disseminating IdHS information on the record subject for a federal contributor, the FBI pointer will be designated as US in the first two positions. The pointer data in a particular multi-source record may contain active state SID pointers and/or FBI pseudo-pointers for the various contributors to the record. In the following example, the FBI's CJIS Division would supply the federal and Massachusetts data in response to a III criminal justice purpose record request, and Alabama would supply its own data in response to the criminal history record request.

```
FBI 9777700
III POINTERS
SID US**070476
SID AL00000002
SID MA**070476
```

2.4.4 DATE OF ARREST CUTOFF

Before a state becomes a III participant, the FBI's CJIS Division indexes record information submitted by the state as an FBI pseudo-pointer in the III. States planning to join the III must decide the records for which they can assume dissemination responsibility and establish a cutoff date based on that decision. Three approaches for establishing arrest cutoff dates are:

2.4.4.1 APPROACH 1: DAY ONE FORWARD

Under this approach, a III state's SID Number will be entered into all records (for which the arrest dates are on or after the state's arrest cutoff date) established in the III from that state after its III participation start date. The FBI's CJIS Division recommends the states establish an arrest cutoff date occurring prior to their III participation start dates to ensure receipt of unsolicited messages begins on the participation start date, and no delay occurs due to fingerprint processing times. The states are then responsible for disseminating records under their control in response to III requests for criminal justice purposes and for any other authorized purposes for which they have agreed to respond.

After a state becomes a III participant, it may, at any time, take responsibility for its records contained in the III as FBI pseudo-pointers as long as the state can support with fingerprint impressions each arrest cycle that appears in the state's record. [Section 2.5](#) of this chapter provides more information on this topic.

2.4.4.2 APPROACH 2: STATE CONTROL OF RECORDS ESTABLISHED IN THE III SINCE THE STATE BECAME A SOLE-SOURCE CONTRIBUTOR

Under this approach, in addition to taking responsibility for records established on or after its III participation start date, the state will assume responsibility for all of its records that were established after it becomes a sole-source contributor. The state may choose to set its date of arrest cutoff as January 1 of the year it became a sole-source contributor. The FBI's CJIS Division will provide the state with a Computerized Criminal History (CCH) correlation medium containing an extract of the criminal history data included in the III submitted by the state since it became a sole-source contributor. Upon receipt of this information, the state must process the medium against its database (or index) to identify matching records. After the state has positively matched one of its records with a record on the CCH correlation medium and determined that its record contains data that are as current and accurate as those on the medium, the state may assume dissemination responsibility for the record by placing its SID Number in the III pointer data region of the III. More information on this topic can be found in [Section 2.5](#) of this chapter and [Appendix T](#).

2.4.4.3 APPROACH 3: STATE CONTROL OF RECORDS ESTABLISHED IN THE III BEFORE THE STATE BECAME A SOLE-SOURCE CONTRIBUTOR

By choosing this approach, a state assumes dissemination responsibility for all its records established in the III before it became a sole-source contributor. The state proceeds in the same manner described in Subsection [2.4.4.2](#) (Approach 2).

2.4.5 ADMINISTRATIVE ACCESS ORI

Each state participating in the III must designate one authorized ORI for Purpose Code I and one authorized ORI for Purpose Code A. Only the authorized ORIs for Purpose Code A are to have administrative access to the III. Only the authorized ORIs for Purpose Code I are to have access for noncriminal justice purposes. In addition, states must use the Purpose Code A ORI to forward maintenance messages.

2.4.6 ZERO-FILLED SID NUMBERS

III field edit specifications require state SID Numbers to contain 3 to 10 alphabetic, numeric, and/or special characters. If a state's SID Number contains less than the maximum ten characters, the state may choose to have the FBI's CJIS Division zero-fill its SID Numbers. The zero(s) is inserted after the state code and before any other characters. For example, Maryland SID 12345 would be stored and retrieved as MD00012345. A QR record request message containing SID/MD00012345 would result in a no record response if Maryland did not have its SID Numbers zero-filled.

2.4.7 RECORD RESPONSES

Before III participation, state identification bureaus (SIBs) received an FBI Identification Record via the mail in response to criminal fingerprint submissions identified with records at the FBI's CJIS Division. Under the design of the III Program, the system will send an unsolicited message containing the search results to the State Identification Bureau (SIB). Should an SIB elect to receive only the unsolicited message, the SIB should advise the FBI's III staff before becoming a III participant.

2.4.8 MANDATORY PURPOSES FOR WHICH STATES MUST PROVIDE THEIR RECORDS

Each state joining the III must provide its criminal history records for criminal justice purposes (Purpose Code C) and firearms-related purposes (Purpose Code F). If the state is a member of the Compact, it must also provide records for all the purpose codes. Specific details concerning purpose codes are provided in [Chapter 3](#) of this manual.

SECTION 2.5—RECORD INDEXING

2.5.1 INTRODUCTION

States choosing to assume dissemination responsibility for records established in the III before their participation start date must follow the procedures described in this section. These procedures will help states identify the specific records for which they want to assume control.

2.5.2 CCH CORRELATION

Upon request, the FBI's CJIS Division will provide a III Correlation (also known as a CCH [computerized criminal history] Correlation) medium to the states choosing options other than the day-one approach. Any state (regardless of its participation in the III) may request a III correlation at any time by contacting the III staff at the FBI's CJIS Division by e-mail to <fbi-iii@leo.gov>. Layouts of the III correlation record format and more detailed guidance is located in [Appendix T](#) of this manual.

States may request a correlation to compare the data on file at the state with the FBI's data to determine if they can support the record. The purpose of a correlation for III states is to identify the records in III that the FBI supports for the state. States may request the records based on a day-one forward approach (state's III participation start date to present), a portion of the records based on a specific year, or all pseudo-pointer records. The correlation data are provided in four record segments including the identification segment (EH), the supplemental identifiers segment (EHN); the arrest segment (ER2), the judicial segment (ER3), and the custody-supervision (ER4). States compare data in each record segment to identify records that have as much IdHS information as the FBI or more. These are records that the state can support.

Once the FBI's CJIS Division gathers the requested data, the FBI will place it on an encrypted compact disc (CD) and forward it to the state. In order to decrypt and process the CD, at a minimum, the state must have a WinZip version of 16.0 or newer. Division staff will attach a letter to the CD explaining its contents, the total record count requested, and the correlation record layout worksheets. Staff will mail the letter, the correlation medium, and the correlation tape layout worksheets to the state. In accordance with FBI's CJIS Division policy, the III staff also sends a separate encrypted e-mail to the state with the password.

2.5.3 RECORD MATCHING

Once the state receives this package, staff designated by the state should compare the FBI and state CCH data. When comparing the records on the CCH correlation medium to the corresponding records in that state file, the state must match at least two identifiers for each record. This could be FBI UCN and SID Number, FBI UCN and DOB (date of birth), or other markers. If only the numbers match, staff designated by the state must compare the name and the date of birth (or other identifiers) of the subject before considering the records to be the same.

The following subsections provide information for record comparison between a state's records and the corresponding records indexed in the III.

2.5.4 RECORD MATCHING DISCREPANCIES

When an authorized user of the III finds data that appear to be incorrect, the user should complete Form FD-1115, “Records Modification Form,” and forward the form via e-mail to the FBI’s CJIS Division at <DOCSPEC@leo.gov> so the record can be updated. More details about Form FD-1115 can be found in [Appendix H](#) of this manual.

2.5.4.1 IDENTIFICATION DATA

Name—The master name in a III record may be different from the master name in the corresponding state record. Usually, this is the result of records that were established from fingerprints submitted by another state, by a federal agency, or by a civil event. In this situation, the state must compare the additional names listed as aliases (AKAs) on the subject’s III record with the master name on the state record to help determine if the records are for the same subject. Name coding procedures used in the III are described in detail in [Chapter 3, Section 3.3](#), of this manual.

Date of Birth—The master date of birth on a III record may be different from the date of birth in the state record for the same reason given for name discrepancies—the result of records that were established from fingerprints submitted by another state, a federal agency, or by a civil event. Agencies should use additional dates of birth listed on the subject’s record for comparison purposes.

Sex and/or Race—When neither the sex nor the race descriptors match the state’s record, the state should review its fingerprint submissions.

Entering Supplemental Identifiers—Although most supplemental identifiers are entered in the III as a result of fingerprint submissions, a state may have documentation not provided to the FBI that contains new supplemental identifier(s) (e.g., aliases or additional dates of birth). This may occur occasionally.

If a state record contains additional identifiers not in the III record, the state may add the identifiers to the III record if the record contains a state active pointer. The authorized state agency may add the information online using the EHN update message. A maximum of nine supplemental identifiers may be entered in one EHN update message.

2.5.4.2 ARREST DATA

SID Number—When the CJIS Division staff process an arrest fingerprint submission, if the SID Number is present, it is recorded in the arrest cycle on the subject’s record. When the fingerprint submission contains either no SID Number or an incorrect SID Number, the arrest cycle in the III will reflect either no SID Number, or a SID Number not matching the current SID Number indexed for the subject. As a result, when a state desires to assume control of a record, it must determine the correct SID Number to index in the III for the subject.

Date of Arrest—The Date of Arrest (DOA) Field contains nine characters. A III record may reflect multiple arrest cycles for one offense. For example, an individual may be fingerprinted on separate occasions for the same offense by different arresting agencies.

Each of these arrests will be reflected in the III record. In addition, fingerprint submissions from custodial agencies may be reflected as arrest prints in the III record.

If there are arrests records at a state agency that are not included in the FBI records, the state should provide the arrest information to the FBI for entry in the record. If the state identifies records at the FBI and that are not on the state record, the state should contact the FBI's CJIS Customer Service Group at 304-625-5590 to request a copy (if permissible by state statute) of the fingerprints for entry in their state record information. If there are records that do not belong to the state (federal or other state arrests) on the correlation, or if the records should have been deleted from the FBI's database, the state should contact the Customer Service Group for corrections.

Although a state may record its data differently than the III, it should ensure that its record reflects essentially the same arrest, court, and custody data as contained in the III. If a state record contains less information, the FBI's CJIS Division will continue to retain responsibility for dissemination of the record.

2.5.4.3 COURT AND CUSTODY DATA

If the III is in the process of retiring a record due to the death of the subject at the time the CCH correlation medium is produced, the last entry will contain arrest and court information indicating DECEASED and a Court Disposition Numeric (CDN) code of 319 (Deceased). **These records should not be indexed with the state's SID Number.** Should the state have information indicating the subject is alive, the state should provide documentation to the FBI's CJIS Division requesting that the subject's record be reestablished.

If there are records that do not belong to the state on the correlation or if the records should have been deleted from the FBI's database, please contact the III staff via e-mail at fbi-iii@leo.gov.

2.5.5 REPORTING POSSIBLE CONSOLIDATIONS, SEALED RECORDS, OR EXPUNGED RECORDS

When a state detects a possible consolidation (e.g., two records that contain the same SID Number but have different FBI UCNs), the state should contact the FBI by e-mail to DOCSPEC@leo.gov and include identifying information from both records. When records are consolidated at the FBI, the III will send participating states a \$.A.CON (Consolidation) unsolicited message advising which FBI UCN to retain. (Refer to [Chapter 5](#) of this manual for more information about record consolidations.)

If any III records have been sealed or expunged at the state level, the state must perform a Delete Record SID (DRS) message online or send correspondence to the FBI's CJIS Division requesting to expunge the record(s) as appropriate.

2.5.6 ESTABLISHING SID NUMBERS AS III POINTERS

For a state to establish its SID Number as the III pointer, the state must first determine that its record reflects essentially the same arrest, court, and custody data as contained in the III. If the state determines this is the case, the state may enter its SID Number in the III. A state may choose to place a SID number in the III record by:

1. Submitting its SID Numbers by computer medium using the Modify Record SID (MRS) modification message format.
2. Transmitting MRS modification messages online.

NOTE: Whichever method the state uses to establish its SID Number as a III pointer, it must coordinate the effort with the III staff at the FBI's CJIS Division. Media for adding the active state SID Numbers may be submitted periodically as III records are matched with records from the state's database.

The information provided below describes in detail how these methods work.

2.5.6.1 MEDIUM SUBMISSIONS

The medium (media) provided by a state listing its records to be indexed will be processed against the III. For each record on the medium, the state's SID Number is established as the III pointer for the corresponding record (determined by the FBI UCN). Before submitting the medium, the state should contact the III staff to discuss the appropriate formatting.

When a state agency includes a SID Number on a record, the III establishes the record as the III pointer and generates a \$.A. unsolicited message to inform the state that the record is either single-source (\$.A.SSO) or multi-source (\$.A.MSO). The III state must enter this status in their record. The FBI's CJIS Division will return all rejected entries to the state via the computer medium or paper.

2.5.6.2 MODIFYING A RECORD SID NUMBER VIA AN ONLINE TRANSMISSION

Although most supplemental identifiers are entered in the III as a result of fingerprint submissions, a state may occasionally have documentation not provided to the FBI that contains new supplemental identifier(s) (e.g., aliases or additional dates of birth).

If a state record contains additional identifiers not in the III record, the state may add the identifiers to the III record if the record contains a state active pointer. The authorized state agency may add the information online using the EHN update message. The state may enter a maximum of nine supplemental identifiers in one EHN update message.

A state record is designated by a SID that must be linked to the FBI UCN assigned to a subject. The FBI must have a record of the state's SID, and the state must have the FBI UCN in its records. For the state to assume control of the record, the FBI UCN and the SID Number must both match. If only one of the numbers match, the state must make the

comparison using additional identifiers as previously shown. The state must also determine that its record reflects essentially the same arrest, court, and custody data as contained in the FBI record. If the state's records do not contain as much information as the FBI, the SID Number should not be placed on those records in the III.

Once the records that would be most appropriately supported by the state are identified and any discrepancies have been addressed, the state can establish pointers by using the MRS (Modify Record SID) Message Key (MKE). The MRS MKE is used to add, correct, or modify a SID Number to an FBI pseudo-pointer. When the III receives an MRS MKE to add or correct a SID Number, the III automatically inserts the new or corrected SID Number in the III pointer area and the appropriate arrest event(s) on file for that state. An MRS MKE transmitted to modify the state's SID Number to an FBI pseudo-pointer results only in the modification of the III pointer value. The SID Number(s) that is stored in the arrest event(s) for the state is not modified.

The state can write the MRS MKE to a medium such as a compact disc and submit it to the CJIS Division for processing, or the state can choose to transmit to the III online. Authorized III users must transmit an MRS MKE to add a SID Number (1) when the state desires to assume responsibility for a record initially established with an FBI pseudo-pointer or (2) when a SID Number has been rejected.

The following information provides more detail about the two methods a state may choose to use to place its SID Number in the record in III:

1. **Online MRS transactions**—if there is a large volume of information, the state must place a one-second delay between each transaction or only transmit 1,000 transactions at a time to prevent a system overload within the III. The state must be able to handle the return traffic from the III as a result of the processing of the MRS transactions, i.e., Accept/Reject messages and the SSO or MSO messages.
2. **Batch load MRS transactions**—the state must contact III staff to arrange for the testing of the data in batch load MRS transactions prior to submission to the FBI. The transactions must be in the MRS format, the medium must be in a variable format, the last five characters of the 2L01 header must be sequential numbers, and each transaction must have an end of transmission indicator (this will be an invisible character). An agency should send a sampling (five to ten transactions) of the transactions to the III team for review prior to mailing the CD. Any errors generated may be provided via a CD. Any state or territory (whether or not they are participate in the III) may request a correlation by contacting III staff of the FBI's CJIS Division by e-mail to <fbi-iii@leo.gov>.

The following example message and list fields show the items that must be present in an MRS MKE to add a SID Number. The new SID Number is the only field in the message requiring an MFC. MFCs shown as two hyphens (--) indicate mandatory positional fields not requiring field abbreviations in the message. If an agency uses an MFC, the III will transmit a reject message.

The following is guidance on how to structure and submit the MRS MKE:

Message:

```
2L01HEADERXXXX01234.MRS.MD1012600.19590110.9015174.SID/MD81331911
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
MRS.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
19590110.	Date of birth (any DOB associated with subject on comparison tape)	--
9015174.	FBI UCN	--
SID/MD81331911	SID to be indexed	SID/

In response to an MRS MKE, the III will transmit an accept message as shown in the following example.

```
KL01HEADERXXXX01234
MD1012600
ACCEPT SID/MD81331911 FOR FBI/9015174
III RECORD IS SINGLE-STATE (or MULTI-STATE)
```

Following the accept message, the III will transmit either a \$.A.SSO (Single-Source Offender Status) or a \$.A.MSO (Multi-Source Offender Status) unsolicited message as appropriate.

Example:

```
$.A.SSO.SID/MD81331911.FBI/9015174.SINGLE-STATE OFFENDER
```

The state can set the appropriate status flag in the state file based on the last line of the accept response or the \$.A. unsolicited message.

NOTE: Because the \$.A.SSO or the \$.A.MSO unsolicited message is a separate message, it may not immediately follow the accept message because other III messages have a higher priority.

Whichever method the state uses to establish its SID as a III pointer, it must coordinate the effort with the FBI's CJIS Division staff. Media for adding the active state SIDs may be submitted periodically as III records are matched with records from the state's database. If further assistance is needed on the correlation process, please contact the III staff by telephone at 304-625-3652 or by e-mail to <fbi-iii@leo.gov>.

SECTION 2.6—STATE RESPONSE PROCEDURES TO III RECORD REQUESTS**2.6.1 INTRODUCTION**

Authorized staff should use a QR record request message to access a specific criminal history record via the III and can be made using either the FBI UCN or SID Number indexed in the individual's record.

Upon receipt of a QR record request message, the III will:

1. Respond to the requesting agency advising that the database(s) maintaining the individual's criminal history record is being notified of the record request.
2. Automatically notify the record holder(s) of the request with a \$.A.CHR unsolicited message. This message provides enough data from the III record for a state to respond to the requesting agency.

2.6.2 EXAMPLE \$.A.CHR UNSOLICITED MESSAGE—CRIMINAL HISTORY REQUEST NOTIFICATION

The following example depicts the format of a \$.A.CHR unsolicited message. The optional fields in the message are the Nlets Control Field (NCF) and the mailing address fields DPT, BLD, ADR, CIS, and ZIP. The inquiring agency translation (ORT) is computer generated based on the ORI in the QR record request message.

Message Format:

\$.A.CHR.HDR/(19 characters).NCF/(optional Nlets control field, 10 characters).TME/(4 characters).TMZ/(3 characters).DTE/(8 characters).ORI/(9 characters).SID/(3-10 characters).FBI/(1-9 characters).NAM/(3-30 characters).PUR/(1 character).TOS/(24 characters).ORT/(1-50 characters).DPT/(optional field,3-30 characters).ATN/(3-30 characters).BLD/(optional field,3-30 characters).ADR/(optional field,3-30 characters).CIS/(optional field,4-30 characters).ZIP/(optional field,5-10 characters).CRIMINAL HISTORY REQUESTED

Example (with all fields filled):

```
$.A.CHR.HDR/2L01HEADERXXXX12345.NCF/      07850.TME/1025.TMZ/EDT.
DTE/20121226.ORI/IL0610000.SID/CT00373238.FBI/9025000.NAM/TEST,SINGLE.PUR/C.T
OS/BASED ON FBI NUMBER ONLY.ORT/CHICAGO CO SO.DPT/SPECIAL INVESTIGATION
UNIT.ATN/CARL DOE.BLD/EASTERN TOWERS.ADR/1022 EAST WRIGHT
ST.CIS/CHICAGO,IL.ZIP/20819.CRIMINAL HISTORY REQUESTED
```

Example (excluding optional fields):

```
$.A.CHR.HDR/2L01HEADERXXXX12345.TME/1422.TMZ/EST.DTE/20121201.ORI/IL0610000.
SID/CT00373238.FBI/9025000.NAM/TEST,SINGLE.PUR/C.TOS/BASED ON FBI UCN
ONLY.ORT/CHICAGO CO SO.ATN/CARL DOE.CRIMINAL HISTORY REQUESTED
```

2.6.3 RECORD REQUEST (QR) BY IN-STATE AGENCY ACCESSING THE III

When an in-state agency (local or state) requests a III record maintained wholly or in part by the state's central repository, the state should respond immediately with its record. In the case of a single-source record, the state should not transmit the record request to the III; the III will not respond with a record, but rather with a message that the record can be obtained from the state's database. The III will not transmit a \$.A.CHR unsolicited message to the state.

Exception: When a federal in-state agency requests a III record maintained wholly or in part by the state's central repository, the state must transmit the record request to the III. The III will transmit a \$.A.CHR unsolicited message to the state.

2.6.4 CENTRAL REPOSITORY RESPONSE FROM STATE—INTRODUCTION

Upon receipt of the \$.A.CHR unsolicited message from the III via the FBI telecommunication network, the state should respond immediately via the Nlets with the requested record using the Central Repository (CR) record response format.

CR Response via Nlets Requirements

The following is an example of a CR record response header, which is the same for both the Current State Format and Nlets Presentation Format record responses. The inquiring agency's header (HDR) and Attention Field (ATN) data must be included on the next line following "TXT." The HDR and ATN information are provided in the \$.A.CHR unsolicited message.

```
CR.CTIII0000
04:23 12/30/2012 00051
04:23 12/30/2012 00049 TXDPD0000
*QRDPD08612
TXT
HDR/2L01QRDPD08612
ATN/DET J Q PUBLIC
```

Lengthy record responses may be broken into two or more response parts. Response parts are identified differently for the current state format and Nlets Presentation Format record responses as shown below:

For the Current State Format, each additional response part is preceded by END OF PART X - PART X TO FOLLOW. An example follows.

```
END OF PART 1 - PART 2 TO FOLLOW
```

PART 2 would appear in the second CR response header following ATN/ as shown below:

```
CR.CTIIII0000
04:23 12/30/2012 00051
04:23 12/30/2012 00049 TXDPD0000
*QRDPD08612
TXT
HDR/2L01QRDPD08612
ATN/DET J Q PUBLIC
PART 2
THE FOLLOWING RECORD PERTAINS TO SID/CT00373238
```

The last line of the last response part must be ``END OF RECORD``.

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CHAPTER 3—INQUIRIES AND RECORD REQUESTS

SECTION 3.1—INTRODUCTION

3.1.1 QH, QR, AND QWI MESSAGES

The III provides two basic inquiry messages: the QH (Query Index) inquiry message and the QR (Query Record) record request message. The QH inquiry message, also referred to as a name search, allows an inquiry using a combination of personal and numeric identifiers such as name (NAM), sex (SEX), race (RAC), date of birth (DOB), Social Security Number (SOC), FBI UCN (FBI), and/or State Identification (SID) Number. The QR record request message, referred to as a criminal history record request, must always include either the FBI UCN or SID Number of the record's subject. If the request does not include either the FBI UCN or SID Number of the record's subject, the III will reject the request and send an error message to the agency.

In addition to the QH and QR inquiry messages, the National Crime Information Center (NCIC) provides a QWI (Query Wanted Person) inquiry message that accesses the NCIC and the III simultaneously. The NCIC treats a QWI inquiry message as a QWA, which produces an inquiry of all person files in the NCIC except the Unidentified Person File. The III treats a QWI as a QH. More information regarding the QWI/QWA inquiry messages are provided in the *NCIC Operating Manual* (Wanted Person File—Inquiry Section).

3.1.2 ZR, ZI, AND ZRS MESSAGES

In addition to the basic inquiry messages mentioned above, the III offers three administrative file maintenance message keys (MKE): ZR, ZI, and ZRS. These MKEs are provided primarily for administrative file maintenance purposes by authorized state Criminal Justice Information Services (CJIS) Systems Agency (CSA) personnel. The ZI and ZRS messages are limited to III state CSA personnel, whereas the ZR message is available for all users. More information about the ZR, ZI, and ZRS messages can be found in [Sections 3.6, 3.7, and 3.8](#) of this chapter.

This chapter furnishes details concerning QH, QR, and QWI inquiry messages and ZR, ZI, and ZRS administrative file maintenance message keys.

SECTION 3.2—PURPOSE CODES

3.2.1 INTRODUCTION

The Privacy Act of 1974 requires the FBI's CJIS Division to maintain an audit trail of the purpose for each disclosure of a criminal history record and the recipient of each record. Therefore, all III inquiry and record request messages must include the purpose for which the subject's record information is to be used. In addition to the purpose code requirement for each III transaction, all users are required to provide the reason for all III transactions upon request by the NCIC System managers/representatives, CSA representatives, and local agency administrators. While the purpose code provides some lead information, it only provides a minimal audit trail. Requiring the reason for all III inquiries will assist in ensuring that III transactions are run for authorized purposes and that purpose codes are correctly used.

3.2.2 PURPOSE CODE A—ADMINISTRATIVE FILE MAINTENANCE

Authorized staff must use Purpose Code A when the authorized participating state agency generates III transaction messages for internal review. III responses containing Purpose Code A cannot be disseminated for any other purpose. A QR record request message for Purpose Code A allows a state to review record information, wanted persons, and sexual offender registry notifications that are in the III for that state. Even if the state pointer is in the record, the FBI will provide only what is indexed in the Next Generation Identification (NGI) System for that state.

3.2.3 PURPOSE CODE C—CRIMINAL JUSTICE

Authorized staff must use Purpose Code C when a III message is for official duties in connection with the administration of criminal justice. Title 28, *Code of Federal Regulations* (CFR), Section 20.3(b) defines the term administration of criminal justice as:

“Administration of criminal justice means performance of any of the following activities: detection, apprehension, detention, pretrial release, post-trial release, prosecution, adjudication, correctional supervision, or rehabilitation of accused persons or criminal offenders. The administration of criminal justice shall include criminal identification activities and the collection, storage, and dissemination of criminal history record information.”

The following examples provide clarification of authorized uses of Purpose Code C in situations that are not part of a criminal justice investigation but are duties of the agency where a record check is necessary to accomplish the agency's mission. However, these examples are not all-encompassing.

Some of the authorized uses of Purpose Code C in relation to the security of the criminal justice facility include:

- A. Vendors or contractors at the criminal justice agency who are not involved with the actual administration of criminal justice at the criminal justice agency, e.g., carpet

cleaners, individuals responsible for maintaining vending machines, janitors, cooks, etc.

- B. Volunteers at criminal justice agencies who are not involved with the actual administration of criminal justice at the criminal justice agency, e.g., participants in community ride-along programs, volunteers at a confinement facility who are providing social or community services rather than rehabilitative services, etc.
- C. Confinement facility visitors.
- D. Inmates of a confinement facility.
- E. Inmate mail—a prisoner's list of names and addresses of those wishing to correspond with the prisoner. III may be used when there is a reason to believe that criminal activity is occurring or has occurred.

In limited situations, the CJIS Advisory Policy Board (APB) has determined that site security is an administration of criminal justice function as defined under Title 28, *Code of Federal Regulations*, Section 20.3(b). In addition to the site security for a criminal justice agency, the CJIS APB recommended, and the FBI Director approved, using the III for:

- A. Site security for federal facilities, limited to contractor personnel (requires a follow-up fingerprint submission).
- B. Off-site protection of very important persons.
- C. Visitors to federal or state military facilities.
- D. Firearms training events sponsored by law enforcement.

In addition to these situations, a law enforcement agency may conduct a III criminal history record check when investigating a criminal incident or when an agency/officer has a reasonable suspicion a person is acting in a suspicious manner while taking pictures or loitering at a critical infrastructure facility. Terminal operators should use Purpose Code C to conduct III inquiries for site security purposes. The result of the III inquiry cannot be disseminated for other purposes.

Purpose Code C can also be used in a domestic violence investigation conducted by a law enforcement agency. (This III inquiry is in reference to agency use only. Purpose Code D below provides information on court-related inquiries).

Governmental social service agencies with child protection responsibilities and the National Center for Missing and Exploited Children must use Purpose Code C to access national crime information databases (as defined in Section 534 of Title 28, U.S.C.) under Section 151 of the Adam Walsh Child Protection and Safety Act of 2006 (Public Law 109-248). An NCIC Originating Agency Identifier (ORI) ending in the alpha character F has been established for Section 151 access.

3.2.4 PURPOSE CODE D—DOMESTIC VIOLENCE AND STALKING

Authorized officials of civil or criminal courts must use Purpose Code D when the III message is accessed by officials of civil or criminal courts in domestic violence or stalking cases. At the discretion of the appropriate state CJIS Systems Officer (CSO) and the FBI's CJIS Division, civil courts may be issued ORIs containing a D in the ninth position of the ORI. Those ORIs ending in D are limited to QH inquiry and QR record request messages for Purpose Code D.

Purpose Code D is used by:

- A. Civil or criminal courts involved in domestic violence or stalking cases (civil courts are issued D ORIs.)
- B. Law enforcement agencies providing a III record to a criminal or civil court for a domestic violence hearing. This III inquiry is in reference to court use only. Purpose Code C above provides information on inquiries by law enforcement agencies.

3.2.5 PURPOSE CODE F—WEAPONS-RELATED BACKGROUND CHECKS

Criminal justice agencies must use Purpose Code F to (a) issue firearms-related permits and explosives permits pursuant to state law, regulation, or local ordinance; (b) return firearms to their lawful owners; and (c) enforce federal and state laws prohibiting certain persons with criminal records from possessing firearms in circumstances in which firearms have been pawned.

3.2.6 PURPOSE CODE H—HOUSING

Authorized staff must use Purpose Code H when the III inquiry is made under the authority of the Housing Opportunity Extension Act of 1996. The use of this purpose code is limited to QH inquiries. The FBI's CJIS Division assigns public housing agencies ORIs containing the letter Q in the ninth position for use by authorized agencies.

3.2.7 PURPOSE CODE I—INTERSTATE-APPROVED NONCRIMINAL JUSTICE

One authorized agency in each state is permitted to use Purpose Code I for interstate-approved, noncriminal justice purposes that involve noncriminal justice employment and/or licensing background checks authorized by federal law, Federal Executive Order, or a state statute approved by the U.S. Attorney General. QH inquiry messages may be sent using this purpose code by including the FBI Universal Control Number (UCN) or SID Number. All requests for background checks for noncriminal justice purposes must be accompanied by fingerprints. QR record request messages shall be made only after positive fingerprint identification by the SIB. If the state agency does not make an identification, the fingerprints must be forwarded to the FBI's CJIS Division for searching.

3.2.8 PURPOSE CODE J—CRIMINAL JUSTICE EMPLOYMENT

Authorized staff must use Purpose Code J when the III message involves employment with a criminal justice agency or the screening of employees of other agencies over which the criminal justice agency is required to have management control. Such screening may include the use of III on friends, relatives, and associates of the employee or applicant, unless restricted or prohibited by state statute, state common law, or local ordinance. Criminal justice employment (Purpose Code J) has been separated from other criminal justice purposes (Purpose Code C) due to the varying requirements of some state agencies participating in the III.

Purpose Code J may also be used to initiate background checks on:

- A. Vendors or contractors at the criminal justice agency who are involved with the actual administration of criminal justice at the criminal justice agency, e.g., personnel involved with maintenance of computer systems, upgrading records systems, data entry clerks, etc.
- B. Volunteers at the criminal justice agency who are involved with the actual administration of criminal justice at the criminal justice agency, e.g., volunteer dispatchers, volunteer data entry clerks, volunteers at a confinement facility who are providing inmate rehabilitation, etc.

3.2.9 PURPOSE CODE R—DEPARTMENTAL ORDER (DO) 556-73

Only the FBI uses Purpose Code R in III record requests (\$.A.CHRs) to National Fingerprint File (NFF) states when DO fingerprints submitted pursuant to DO 556-73 are identified to a record maintained by an NFF participating state. If a state or local agency submits a III query with Purpose Code R, the III will reject the query as unauthorized.

3.2.10 PURPOSE CODE S—NATIONAL SECURITY

A III message using Purpose Code S may be sent by an agency authorized by the Security Clearance Information Act (SCIA), 5 U.S.C. § 9101, when investigating individuals for any of the following:

- A. Access to classified information.
- B. Assignment to or retention in sensitive national security duties.
- C. Acceptance or retention in the armed forces.
- D. Appointment, retention, or assignment to a position of public trust or a critical or sensitive position while either employed by the government or performing a government contract.

Authorized agencies include:

- Department of Defense
- U.S. Office of Personnel Management
- Department of Transportation
- Federal Bureau of Investigation
- Central Intelligence Agency
- Department of State
- Department of Homeland Security
- Office of the Director of National Intelligence

3.2.11 PURPOSE CODE V—VISA APPLICANTS

Staff at the Department of State, Consolidated Immigrant Processing Visa Center, use Purpose Code V when a QH is made for the purpose of determining eligibility for a visa application.

3.2.12 PURPOSE CODE X—EXIGENT PROCEDURES

Purpose Code X must be used when a QH inquiry message is made during an emergency situation when the health and safety of a specified group may be endangered (i.e., during large-scale disasters such as hurricanes). Agencies authorized under an approved statute to receive criminal history record information preceding the delayed submission of fingerprints or by law enforcement agencies servicing the record needs of such agencies must use Purpose Code X. Following a QH inquiry message, authorized personnel may use a QR record request to review an individual's record. All requests for background checks for exigent purposes must be accompanied by fingerprints. When the State Identification Bureau (SIB) does not make a positive identification, the delayed submission of fingerprints to the FBI must occur within the time frame agreed to by the Compact Council. The FBI may assign a T in the ninth position of the ORI for use by authorized noncriminal justice agencies. Before an agency may use Purpose Code X, CJIS Division staff must preapprove its use. Contact the FBI's CJIS Division by telephone at 304-625-5590 for further information.

SECTION 3.3—QH INQUIRY MESSAGE

3.3.1 INTRODUCTION

The III QH inquiry message and its various response formats are discussed in this section. Using the QH inquiry, an agency can search the III using an individual's personal identifiers, (NAM, SEX, RAC, and DOB), assigned SID Number, or assigned FBI UCN. The QH inquiry is used to determine if a person's criminal history record is indexed in the III. In response to a QH inquiry, the III will provide one of the following:

- A. A single matching III record response.
- B. Multiple matching III record responses (up to 15).
- C. A III "no record" response.

A positive QH response will inform the inquirer whether there is a matching record(s) indexed in the III. The QH response should be used as a table of contents to be attached on the top of the criminal history record(s) received later, so the requester will know when all of the responses are received. Also, the QH response provides additional identifiers (aliases, dates of birth, etc.) that may not be included on the actual criminal history record response(s). A QH response will not indicate the existence of an Identity History Summary (IdHS) established solely by noncriminal justice events.

A positive QH response provides the requester with three types of information:

- A. The individual's name(s), physical descriptors, and numeric identifiers.
- B. The identity of the database(s) maintaining the criminal history record information.
- C. Guidance on how to obtain the record(s).

The III "no record" response does not mean that there is absolutely no criminal history record on the individual. The FBI maintains criminal fingerprints of individuals with an FBI record and certain fugitives and repeat offenders. In addition, there may be records at the local or state level for which arrest fingerprint submissions are not on file with the FBI.

3.3.2 QH INQUIRY

When the user makes a QH inquiry, the first three fields must contain the following information in the order shown. The III will not process the request without these fields:

- A. **Message header**—a maximum of 19 characters including 2L01 as the first four characters.
- B. **Message key**—QH, indicating the type of III request.
- C. The requesting agency's **ORI**.

QH inquiry messages must include one of the following search groups. (Definitions of message field codes [MFC] and field edit specifications are provided in [Appendix A](#) of this manual.) An inquiry using any of the search groups must include all of the fields within the group.

- NAM, SEX, RAC, and DOB
- NAM, SEX, RAC, DOB, and SOC
- NAM, SEX, RAC, DOB, and miscellaneous number (MNU)
- NAM and SOC
- NAM and MNU
- *SID or NAM and SID
- *FBI UCN or NAM and FBI UCN

*If known, the inquirer should use the SID Number or FBI UCN as the search field. This will provide an exact hit and eliminate the possibility of multiple responses. If the SID Number and FBI UCN are not known, the FBI's CJIS Division recommends using one of the first three search groups listed above to ensure maximum search potential.

Each search field must be preceded by its MFC. Following the search fields, the QH inquiry message must include the purpose code (PUR) for which the record is being requested. An attention field (ATN) is optional in QH inquiry messages unless the requester's state requires it for audit purposes.

The following example depicts a QH inquiry message with the required fields. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. MFCs must not be used in these fields; if they are used, reject messages will result.

Example:

```
2L01HEADERXXXX01234.QH.MD1012600.NAM/SAMPLE,JOHN.SEX/M.RAC/W.DOB/19561125.PUR
/C.ATN/SGT EXAMPLE
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADER01234.	Header	--
QH.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
*NAM/SAMPLE,JOHN.	Name of Subject of Inquiry	NAM/
SEX/M.	Appropriate Sex Code	SEX/
RAC/W.	Appropriate Race Code	RAC/

DOB/19561125	Date of Birth of Subject	DOB/
PUR/C.	Purpose Code	PUR/
ATN/SGT EXAMPLE	Optional Field for QH Inquiry Message	ATN/
FBI UCN/SID/	*If known, the FBI UCN or SID Number may be used in lieu of the NAM.	

3.3.3 SEARCH AND MATCH CRITERIA

An inquiry using NAM, SEX, RAC, and DOB must match on all four search fields in order to produce a positive response. An explanation of the matching criteria follows:

NAM—QH inquiry messages should contain a last name, a first name, and a middle name or initial. If an inquiry contains only a last name and a first initial, or only a last name and a first and middle initial, insufficient comparisons may prevent the selection of matching records if the name is common. The requester should use the first initial only if the person does not have a given first name. For matching purposes, the III compares the name included in a QH inquiry message with the master names and aliases contained in the III. In the event an individual has a single name as his/her entire name, the requesting agency must enter the name in the inquiry with the single name as the last name, comma, and “XX” as the first name/initial.

The III name search uses a surname and a combination of a first name and middle initial. The III identifies nicknames and converts them to their true name before the search process begins, e.g., Bill equals William, Betty equals Elizabeth, etc. The III compares names in the III database using a computer-coded phonetic technique that treats vowels (A, E, I, O, and U) equally and eliminates double consonants to provide hits on records with names that are not spelled exactly alike. Names are grouped according to the resulting phonetic code beginning with the first character of the coded name. A common surname will result in a wider search based on a combination of the first name and a generic middle initial.

Requesting agencies should enter compound surnames such as SAENZ-PARADA-LOPEZ in the initial QH inquiry message with hyphens separating surname components. The III name search process will create separate searches on each component.

The requester must not use JANE DOE or JOHN DOE if the subject’s name is unknown because the III does not search those names. If the requesting agency uses them, the agency will receive a reject message, UNSEARCHABLE IDENTIFIER NAM.

SEX—A match on this value enhances the possibility of finding the correct candidate. This is more crucial in cases where the NAM and DOB are not exact matches. The valid sex codes are:

<u>Code</u>	<u>Sex</u>
M	Male
F	Female
X	Unknown

RAC—A match on this value enhances the possibility of finding the correct candidate. This is more crucial in cases where the NAM and DOB are not exact matches. The valid race codes are:

<u>Code</u>	<u>Race</u>
A	Asian or Pacific Islander—a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands.
B	Black—a person having origins in any of the black racial groups of Africa.
I	American Indian or Alaskan Native—a person having origins in any of the original peoples of the Americas, and who maintains cultural identification through tribal affiliations or community recognition.
U	Unknown.
W	White—a person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

NOTE: Records for Hispanics should be entered with the race code most closely representing the individual.

DOB—When a complete date of birth is used in a QH inquiry message, the search will provide records that score sufficiently high based on matching name, sex, race, and one of the following:

- Exact date of birth (for example, 1973/12/30 is the subject's true date of birth).
- Same month and day of birth, and plus or minus 3 years on the year of birth (for example, 1970/12/30 or 1976/12/30).

The III will reject a QH inquiry message with an incomplete date of birth (e.g., 19600000, 19200006, 19601200, or 19600030).

The III conducts a search on all identifiers when the QH inquiry message contains NAM, SEX, RAC, DOB, and either SOC or MNU. If the III finds a match on the SOC or MNU and on the NAM, SEX, RAC, and DOB, it will transmit the record only once (i.e., duplicates will be suppressed).

A QH inquiry message containing a SOC or MNU of 000000001 or 111111111 will not result in a reject message as long as the field contains nine digits. However, the III will not search these numbers.

QH inquiry messages containing NAM and SOC, NAM and MNU, NAM and FBI UCN, or NAM and SID will be searched on SOC, MNU, FBI UCN, or SID only; however, the inclusion of NAM with either SOC or MNU is mandatory or the III will not process the request. The inclusion of NAM with FBI UCN or SID Number is optional.

3.3.4 RESPONSE HEADERS

The first four characters in the response header indicate the type of response that the III will send to the requester. The following list furnishes the characters and their definitions that III sends in response to a QH inquiry message:

<u>Header</u>	<u>Type of QH Response</u>
2L01	Response when the record is no longer on file due to record consolidation, deletion, expungement, or the subject's death.
3001	Multiple matching candidate response. The header in the response will vary based on the length of the response.
3L01	
3L02	
7L01	Single-candidate response.
DL01	Positive single candidate response for a firearms check when the subject's record contains at least one disqualifying conviction.
GL01	Response transmitted when file or technical problems are encountered in processing a response.
JL01	Reject message.
LL01	A positive single candidate response to a QH inquiry message for a firearms check when (a) the record disqualification status is unknown, or (b) a positive

multiple candidate response regardless of the presence or absence of a disqualifying conviction in any of the records.

NL01 No record response.

3.3.5 EXAMPLES—INTRODUCTION

A positive QH response will include the following information for each candidate: master name; FBI UCN; inquiry date; photo availability; sex; race; master DOB; height; weight; eye color; hair color; place of birth (POB); fingerprint classification (if applicable) and/or the Next Generation Identification (NGI) Pattern Classification; aliases; additional DOBs; scars, marks, or tattoos; SOC(s); miscellaneous number(s); location where the subject's criminal history record is maintained (each individual state file, and/or the FBI's CJIS Division); and any caveats that apply to making inquiries. Positive identification is not conclusive for the candidate(s) generated by a III name search via a QH inquiry. These responses may appear slightly different depending on the state's configuration but will contain the same data sets.

The following examples depict possible QH inquiry messages and various responses.

3.3.5.1 EXAMPLE OF A QH INQUIRY AND SINGLE MATCHING RECORD RESPONSE FOR PURPOSE CODES OTHER THAN A, D, F, H, AND X

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/BATMAN,TEST.SEX/M.RAC/W.DOB/19550505.PUR/C

Response:

7L01030MEW6JCVQH
DCFBIWA10

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR INQUIRY ON NAM/BATMAN,TEST SEX/M RAC/W DOB/19550505 PUR/C

NAME	FBI NO.	INQUIRY DATE					
BATMAN, TEST	9005000	2014/09/25					
SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
M	W	1955/05/05	600	180	BLU	BRO	N

BIRTH PLACE
CALIFORNIA

FINGERPRINT CLASS
67 XX SR AA TT
01 XI DM DO PM

OTHER

BIRTH DATES
1954/05/15

IDENTIFICATION DATA UPDATED 2012/02/01

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

ARIZONA - STATE ID/AZ00009997

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.
END

NOTE: When the requester uses Purpose Code A, the following statement is included before END.

THIS RECORD CAN BE USED FOR ADMINISTRATIVE PURPOSES ONLY AND CANNOT BE DISSEMINATED FOR ANY OTHER PURPOSE.

3.3.5.2 EXAMPLE OF A QH INQUIRY AND MULTIPLE MATCHING RECORD RESPONSE FOR PURPOSE CODES OTHER THAN A, D, F, H, AND X

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/RECORD,TEST AL.SEX/M.RAC/W.
DOB/19440101.PUR/C

Response:

3L01030MEW6S25QH
DCFBIWA10

THIS NCIC INTERSTATE IDENTIFICATION INDEX MULTIPLE RESPONSE IS THE RESULT OF YOUR INQUIRY ON NAM/RECORD,TEST AL SEX/M RAC/W DOB/19440101 PUR/C

NAME	FBI NO.	INQUIRY DATE
RECORD,TEST AL	9666000	2014/09/25

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
M	W	1944/01/01	509	163	BLK	BRO	N

BIRTH PLACE
ALABAMA

FINGERPRINT CLASS
PI 61 08 CI 14
70 62 63 PO 11

ALIAS NAMES
BUGEYES,BILLY B
TEST,ONE

MAXRECORD,TEST

OTHER

BIRTH DATES SOCIAL SECURITY

1966/01/01 101-53-0099

1969/01/01

1958/01/04

1958/04/04

1912/12/12

IDENTIFICATION DATA UPDATED 2012/08/16

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE
FOLLOWING:

D.C. - STATE ID/DC00000001

END - 1ST NCIC III RECORD FOR MULTIPLE RESPONSE

NAME	FBI NO.	INQUIRY DATE
WASHINGTON, TEST II M	9028100	2014/09/25

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
M	W	1960/01/01	511	190	BRO	BLK	N

BIRTH PLACE

WASHINGTON STATE

FINGERPRINT CLASS

PI PO AA AA PM

PO AA PM XX PO

ALIAS NAMES

EHN, TEST

GOODGUY, JOHN

RAZORBACK, JOHN

RECORD, TEST

OTHER

SCARS-MARKS-

BIRTH DATES

TATTOOS

SOCIAL SECURITY

1940/01/01

SC R ARM

262-35-6789

1950/01/01

1965/02/02

IDENTIFICATION DATA UPDATED 2012/09/20

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE
FOLLOWING:

ARKANSAS - STATE ID/AR627391
OKLAHOMA - STATE ID/OK00123456
SOUTH DAKOTA - STATE ID/SD222151A3
WASHINGTON STA - STATE ID/WA10150096
FBI - FBI/9028100

END - 2ND NCIC III RECORD FOR MULTIPLE RESPONSE

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III/NFF MANUAL

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NAME	FBI NO.	INQUIRY DATE
LAST, FIRST MIDDLE	9002000	2014/09/25

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
M	W	1940/01/01	500	123	XXX	GRY	N

BIRTH PLACE
CALIFORNIA

FINGERPRINT CLASS
54 PI DM XO CI
TT PO SR AA 15

ALIAS NAMES	
BENOCHÉ-HERNANDEZ, OSCAR	GONZALEZ-HERNANDEZ, ERICK
JOHNSON, PAUL ROBERT	LAST, FIRST
MOUSE, MICKEY	MOUSE, MICKEY M
MOUSE, MICKEY MICKEY	RABBIT, JESSICA

OTHER
BIRTH DATES SOCIAL SECURITY
1960/01/01 122-12-1212
1970/01/01 333-22-4444
1999/02/25 555-55-5555
1961/09/04

IDENTIFICATION DATA UPDATED 2012/01/18

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

COLORADO - STATE ID/COTEST
END - LAST NCIC III RECORD FOR MULTIPLE RESPONSE

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.
END

The III will provide a maximum of 15 records online for a multiple response. When 16 or more records match the QH inquiry message, a caveat will be appended to the QH multiple record response that contains the FBI UCN(s) of the additional matching records.

Example:

END - LAST NCIC III RECORD FOR MULTIPLE RESPONSE

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.

*****NOTICE*****

AS A RESULT OF YOUR INQUIRY THE III PROVIDES A MAXIMUM OF 15 MATCHING RECORDS. TO OBTAIN ADDITIONAL MATCHING RECORD(S), USE A SEPARATE III INQUIRY(S), CONTAINING THE FOLLOWING FBI NUMBER(S):
 1234561 1234562 1234563
 END

3.3.5.3 EXAMPLE OF A QH INQUIRY FOR PURPOSE CODE D AND SINGLE CANDIDATE RESPONSE

The text bolded in the caveat below is unique to QH inquiry responses for Purpose Code D and appears in all QH inquiry responses for Purpose Code D regardless of the number of candidates included in the response.

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/PUBLIC,SUSIE
 Q.SEX/F.RAC/W.DOB/19570812.PUR/D

Response:

7L0103OMEW6UIOQH
 DCFBIWA10
 THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR INQUIRY ON NAM/PUBLIC,SUSIE Q SEX/F RAC/W DOB/19570812 PUR/D

*******NOTICE*******

THIS RESPONSE MAY BE USED FOR ONLY PURPOSES OF THE VIOLENT CRIME CONTROL ACT OF 1994, PUBLIC LAW 103-322, SUBTITLE F--NATIONAL STALKER AND DOMESTIC VIOLENCE REDUCTION.

NAME	FBI NO.	INQUIRY DATE
PUBLIC,SUSIE Q	9003000	2014/09/25

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
F	W	1957/08/12	504	115	BLU	BRO	N

BIRTH PLACE
 FLORIDA

FINGERPRINT CLASS
 PO PI 16 12 14
 SR PO 12 16 14

ALIAS NAMES
PUBLIC, FOUR
PUBLIC, THREE
PUBLIC, ONE
PUBLIC, TWO

OTHER BIRTH DATES	SCARS-MARKS-TATTOOS
1961/08/23	SC L ARM
1962/08/23	

1963/08/23
 1964/08/23
 1965/08/23

IDENTIFICATION DATA UPDATED 2012/09/20

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

FLORIDA - STATE ID/FL01776048

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.
 END

3.3.5.4 EXAMPLE OF A QH INQUIRY FOR PURPOSE CODE H AND SINGLE CANDIDATE RESPONSE

The caveat bolded below is unique to Purpose Code H QH inquiry responses and appears in all responses to Purpose Code H inquiries regardless of the number of candidates included in the response.

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/PUBLIC,SUSIE
 Q.SEX/F.RAC/W.DOB/19570812.PUR/H

Response:

7L0103OMEW6UU1QH
 DCFBIWA10

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR INQUIRY ON NAM/PUBLIC,SUSIE Q SEX/F RAC/W DOB/19570812 PUR/H

*******NOTICE*******

THIS RESPONSE MAY BE USED ONLY FOR PURPOSES OF THE HOUSING OPPORTUNITY PROGRAM EXTENTION ACT OF 1996, PUBLIC LAW 104-120. FINGERPRINTS MAY BE SUBMITTED TO THE FBI IF THIS RESPONSE INDICATES THE APPLICANT MAY HAVE A CRIMINAL HISTORY RECORD BASED ON YOUR INQUIRY.

NAME	FBI NO.	INQUIRY DATE
PUBLIC,SUSIE Q	9003000	2014/09/25

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
F	W	1957/08/12	504	115	BLU	BRO	N

BIRTH PLACE
 FLORIDA

FINGERPRINT CLASS
 PO PI 16 12 14

SR PO 12 16 14

ALIAS NAMES
 PUBLIC, FOUR PUBLIC, ONE
 PUBLIC, THREE PUBLIC, TWO

OTHER SCARS-MARKS-
 BIRTH DATES TATTOOS
 1961/08/23 SC L ARM
 1962/08/23

IDENTIFICATION DATA UPDATED 2010/06/25

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE
 FOLLOWING:

FLORIDA - STATE ID/FL01776048

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION
 INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.
 END

3.3.5.5 EXAMPLE OF A QH INQUIRY FOR PURPOSE CODE F AND SINGLE CANDIDATE RESPONSE, SUBJECT'S RECORD CONTAINS AT LEAST ONE DISQUALIFYING CONVICTION

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/QTEST,EUGENE.SEX/M.RAC/W.DOB/19470
 611.PUR/F

Response:

LL01030MEW6W7ZQH
 DCFBIWA10

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF
 YOUR INQUIRY ON NAM/QTEST,EUGENE SEX/M RAC/W DOB/19470611 PUR/F

NAME	FBI NO.	INQUIRY DATE
QTEST,EUGENE C	9027000	2014/09/25

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
M	W	1947/06/11	510	200	BR0	RED	N

BIRTH PLACE
 ALASKA

FINGERPRINT CLASS
 DO PO AA 11 15
 DI PI 12 13 14

ALIAS NAMES

O QTEST, EUGENE D
QTEST, EUGENE G

Q TEST, EUGENE
QTEST, EXOFF

OTHER BIRTH DATES NUMBERS	SCARS-MARKS- TATTOOS	SOCIAL SECURITY	MISC
1950/01/01	SC L LEG	000-00-2056	
1978/01/01	SC R ARM	000-00-5333	
1956/03/22	TAT L ARM	000-00-5443	
1975/06/11	TAT L SHLD	017-65-5443	

IDENTIFICATION DATA UPDATED 2012/09/19

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

ALASKA - STATE ID/AK00999663 - DISQUALIFICATION FOR FIREARMS

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.

END

3.3.5.6 EXAMPLE OF A QH INQUIRY FOR PURPOSE CODE F AND POSITIVE SINGLE CANDIDATE RESPONSE, SUBJECT'S DISQUALIFICATION STATUS IS UNKNOWN

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/ROOSEVELT, TEDDY. SEX/M. RAC/W. DOB/19331002. PUR/F

Response:

LL01030MEW75MVQH
DCFBIWA10

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR INQUIRY ON NAM/ROOSEVELT, TEDDY SEX/M RAC/W DOB/19631002 PUR/F

NAME	FBI NO.	INQUIRY DATE
ROOSEVELT, TEDDY	9033000	2014/09/25

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
M	W	1963/10/02	509	195	BLU	BLN	N

BIRTH PLACE
NEW YORK

FINGERPRINT CLASS
10 11 12 13 14
15 16 17 18 19

ALIAS NAMES
PRESIDENT, MISTER

IDENTIFICATION DATA UPDATED 2012/01/16

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

NORTH DAKOTA - STATE ID/ND00123211 - STATUS UNKNOWN

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.
END

3.3.5.7 EXAMPLE OF A QH INQUIRY FOR PURPOSE CODE X NO RECORD RESPONSE

The caveat bolded below is unique to Purpose Code X QH inquiry messages and appears in all QH inquiry no record responses:

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/SAMPLE,MICHAEL.SEX/M.RAC/W.
DOB/19641025.PUR/X

Response:

NL01030MEW7A44QH
DCFBIWA10
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX
(III) FOR NAM/SAMPLE,MICHAEL.DOB/19641025.SEX/M.RAC/W.PUR/X.

*******NOTICE*******

THIS RESPONSE IS PROVIDED DUE TO EXIGENT CIRCUMSTANCES FOR USE BY AN AGENCY AUTHORIZED BY BOTH YOUR STATE RECORD REPOSITORY AND THE FBI. THE SUBMISSION OF FINGERPRINTS TO THE STATE/FBI IS REQUIRED WITHIN THE NUMBER OF DAYS AS SPECIFIED BY THE COMPACT COUNCIL AND AS PUBLISHED IN THE FEDERAL REGISTER.
END

3.3.5.8 EXAMPLE OF A QH INQUIRY FOR PURPOSE CODE X WITH A POSITIVE RESPONSE

The caveat bolded below is unique to Purpose Code X QH inquiry messages and appears in all QH inquiry positive record responses:

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/TOUCHDOWN,SUE.SEX/F.RAC/W.DOB/1960
0101.PUR/X

Response:

7L0103OMEW78KHQH

DCFBIWA10

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR INQUIRY ON NAM/TOUCHDOWN,SUE SEX/F RAC/W DOB/19600101 PUR/X

*******NOTICE*******

THIS RESPONSE IS PROVIDED DUE TO EXIGENT CIRCUMSTANCES FOR USE BY AN AGENCY AUTHORIZED BY BOTH YOUR STATE RECORD REPOSITORY AND THE FBI. THE SUBMISSION OF FINGERPRINTS TO THE STATE/FBI IS REQUIRED WITHIN THE NUMBER OF DAYS AS SPECIFIED BY THE COMPACT COUNCIL AND AS PUBLISHED IN THE FEDERAL REGISTER.

NAME	FBI NO.	INQUIRY DATE
TOUCHDOWN, SUE	9029000	2014/09/25

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
F	W	1960/01/01	500	115	BLU	BLN	N

BIRTH PLACE
ARKANSAS

FINGERPRINT CLASS
11 03 PM PM AA
AA 12 11 TT 22

SCARS-MARKS-TATTOOS	SOCIAL SECURITY
SC R ARM	012-34-5678

IDENTIFICATION DATA UPDATED 2012/07/25

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

FBI - FBI/9029000

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.

END

3.3.5.9 EXAMPLE OF A QH INQUIRY AND A NEGATIVE RESPONSE**Inquiry:**

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/QTEST,DON.SEX/M.RAC/W.DOB/19640101.PUR/C

Response:

NL0103OMEW7BAFQH

DCFBIWA10

NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX

(III) FOR NAM/QTEST,DON.DOB/19640101.SEX/M.RAC/W.PUR/C.
END

3.3.5.10 EXAMPLE OF A QH INQUIRY AND RESPONSE WHEN THE RECORD HAS BEEN REMOVED FROM THE III DUE TO ITS CONSOLIDATION WITH ANOTHER RECORD, DELETION, EXPUNGEMENT, OR THE SUBJECT'S DEATH

The III provides one of the following responses when a record has been removed from the III due to its consolidation with another record, deletion, expungement, or the subject's death. **These responses will be provided only when an agency makes an inquiry using an FBI UCN or a NAM and FBI UCN.**

NOTE: A III record can be deleted either permanently (e.g., when a record was established in error or if the subject has reached 110 years of age) or temporarily (e.g., when internal corrections are needed and the record will be reentered).

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.FBI/9015174.PUR/C

Response:

2L01HEADERXXXX01234

DCFBIWA10

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF
YOUR INQUIRY ON FBI/9015174 PUR/C

RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/9026285 20121201
END

(or)

RECORD NO LONGER ON FILE - DELETED 20121201
END

(or)

RECORD NO LONGER ON FILE - EXPUNGED 20121201
END

(or)

RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT SUMTER SC 20121201
END

3.3.5.11 EXAMPLE OF A QH INQUIRY AND RESPONSE FOR A SINGLE-SOURCE RECORD REQUEST WHEN THE RECORD HAS BEEN SEALED

The following example illustrates a QH record request inquiry and response generated from the III when a single-source record is sealed:

Inquiry:

```
2L01HEADERXXXX01234.QH.DCFBIWA10.FBI/9004000.PUR/I.ATN/BOJANGLE
```

Response:

```
NL01HEADERXXXX01234
DCFBIWA10
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX(III)
FOR FBI/9004000.PUR/I.
```

3.3.5.12 EXAMPLE OF A QH INQUIRY AND RESPONSE WHEN THE RECORD CONTAINS ONLY NONCRIMINAL JUSTICE EVENT DATA

Beginning in September 2014, the NGI began assigning FBI UCNs for all identities contained within the NGI system, including records created solely by noncriminal justice event data (civil retain submissions). The existence of these records will not be available via the QH inquiry, regardless of whether the user queries by name and descriptive data or by the FBI UCN. The III will provide the following response when an IdHS is on file which was created solely from noncriminal justice event data.

Inquiry:

```
2L01HEADERXXXX01234.QH.VAVSP0000.NAM/HUGGLES,HENRY.SEX/M.RAC/B.
DOB/19611206.PUR/C (EOT)
```

Response:

```
2L01HEADERXXXX01234
VAVSP0000
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX
(III) FOR NAM/HUGGLES,HENRY.SEX/M.RAC/B.DOB/19611206.PUR/C.
END
```

Inquiry:

```
2L01HEADERXXXX01234.QH.VAVSP0000.NAM/HUGGLES,HENRY.FBI/13329NA7.PUR/C
(EOT)
```

Response:


```
2L01HEADERXXXX01234
VAVSP0000
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX
(III) FOR NAM/HUGGLES,HENRY.FBI/13329NA7.PUR/C.
END
```

3.3.6 ADDITIONAL INFORMATION—INTRODUCTION

The following subsections provide additional information regarding fields contained in the QH inquiry response from the III.

3.3.6.1 FINGERPRINT CLASSIFICATION

In each of the positive responses to a QH inquiry message, the III will return up to four types of categories of fingerprint classifications, FINGERPRINT CLASS, PATTERN CLASS, UNCLASSIFIED (UC), or UNABLE TO PRINT (UP) depending when the record was established at the FBI's CJIS Division. Records established prior to July 28, 1999, will contain the FINGERPRINT CLASS. Records established from July 28, 1999 to February 24, 2011, will contain only the PATTERN CLASS. Records established since February 25, 2011, and any updated records in the III will no longer display a true pattern classification. Instead, the pattern will be displayed as UC and/or UP for all ten fingers.

The III furnishes the FINGERPRINT CLASS category on two lines in its messages. The first line represents the fingerprint classification of the right hand; the second line represents the fingerprint classification of the left hand.

In the PATTERN CLASS category, the first line represents all ten fingers and each finger's pattern classification. The second and third lines of the PATTERN CLASS represent additional reference points. More information regarding fingerprint classification can be found in the current version of the *Electronic Biometric Transmission Specification* (EBTS), which is available electronically at <http://www.fbibiospecs.cjis.gov>.

3.3.6.2 IDENTIFICATION DATA UPDATED

The notation IDENTIFICATION DATA UPDATED provides the date of the latest addition, modification, or cancellation of data contained in an FBI IdHS.

3.3.6.3 DECEASED

The word DECEASED will appear in conjunction with a III state's SID Number when the record is multi-source and one of the states has received information that the individual is dead. The phrase EXCEPT FOR THOSE INDICATED AS DECEASED

will be appended when a multi-source record contains a SID Number that has been flagged by the state as deceased.

3.3.6.4 SOCIAL SECURITY NUMBER CAVEAT

When a QH inquiry message includes a SOC that contains a 9 in the first position and/or 00 in the fourth and fifth positions, the III will append a warning caveat to the QH inquiry response immediately preceding the word END, indicating that the SOC is not valid. However, this does not mean that the III rejected the SOC entry.

Example:

```
ATTENTION -- THE SOC USED IN YOUR TRANSACTION HAS NOT BEEN ASSIGNED BY  
THE SOCIAL SECURITY ADMINISTRATION, PLEASE CHECK FOR A DATA ENTRY ERROR  
IN YOUR QUERY AND RESUBMIT IF NECESSARY.  
END
```

SECTION 3.4—QR RECORD REQUEST MESSAGE

3.4.1 INTRODUCTION

The method of requesting records via the III and descriptions of the types of III responses are discussed in this section. Based on the results of a QH inquiry message (or other information in local and state files that reveals a valid FBI UCN or SID Number), authorized users must execute a request of the subject's record information using the FBI UCN or SID Number via a QR record request message. A positive QR response will provide the complete record of the subject based on the FBI UCN or SID Number used in the QR record request message. The response may include portions of the record from the FBI and/or one or more III/NFF states.

The initial III response to the QR record request message provides a listing of the states/agencies responsible for providing IdHS information to the requester and can be used as a table of contents to ensure that all IdHS information is received. Following this initial response, each of the states/agencies that maintain a portion of the subject's record responds with the IdHS information contained in its criminal history database. The FBI will provide the IdHS information from its database for those records a state is restricted by state law from providing for a specific purpose code or record information that is not supported by the state.

In an effort to improve the sharing of criminal history records from state to state and with federal agencies, the Joint Task Force (JTF) on Rap Sheet Standardization was formed in 1996. The JTF was tasked to develop recommendations concerning the content of criminal history records and formats used in constructing standardized rap sheets. As a result of JTF recommendations, the FBI's CJIS Division works with the III and NFF participating states to implement an Extensible Markup Language (XML) format to send and receive III QR record responses. The FBI and III participating states receive record responses in a format that is linked to their capability to send and/or receive responses in XML format. As a general rule:

When Sender Can Respond in XML Format:

Current FBI/state response formats are modified to either (1) State Presentation Format (SPF) when the receiver converts XML format to SPF or (2) the International Justice and Public Safety Network (Nlets) Presentation Format (NPF) when the receiver does not convert XML format to SPF.

Accordingly, the examples of QR record responses that follow are shown in the current state response format. The SPF is a state-specific format and, therefore, is not shown in the examples.

3.4.2 QR RECORD REQUEST

To obtain a specific record via the III, a requester must use a criminal history record request (QR) message containing either the subject's FBI UCN or SID Number. The FBI UCN or SID Number used in the record request may be obtained from a QH inquiry message, matching fingerprints, or from other sources available to the inquiring agency (e.g., local investigative file).

All QR record request messages must contain the following items in the order shown. The III will not process the request without these fields:

- A. **Message header**, which contains 2L01 as the first four characters.
- B. **Message key**, in this case QR, indicating what action is to be performed.
- C. Requesting agency's **ORI**.
- D. Subject's **FBI UCN** or **SID Number**.
- E. **Purpose code**.
- F. **Attention field** indicating to whose attention the response should be forwarded.

The FBI UCN or SID Number, the purpose code (PUR), and the attention field (ATN) must be preceded by their appropriate MFCs. The use of NAM with either the FBI UCN or SID Number is optional; however, when included, the name is not searched.

Purpose Code H is not valid for use in QR record request messages. Each III state must designate an ORI(s) authorized to use Purpose Code A and an ORI(s) authorized to use Purpose Code I. Purpose Code S is limited for use by agencies designated under the SCIA.

The following is an example of a QR record request message and a list of the fields that it must contain. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an agency uses an MFC, the III will transmit a reject message.

Example:

```
2L01HEADERXXXX01234.QR.VAVSP0000.FBI/9015174.PUR/C.ATN/DET JOHN PUBLIC
```

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
QR.	Message Key	--
VAVSP0000.	Designated State Agency Identifier	--
FBI/9015174. SID/	FBI UCN or SID Number of known subject	FBI UCN/
PUR/C.	Purpose Code	PUR/
ATN/DET JOHN PUBLIC.	Required field for QR Record Request	ATN/

Upon receipt of a QR record request message, the III responds to the requesting agency with either a positive response (indicating that a record is available via the III) or a negative response (indicating that a record may exist but is not indexed in the III). The positive response advises the requester which database(s) will respond with the criminal history record.

The III automatically notifies each state's database with enough information to enable the state to respond to the requester. A record maintained by the FBI's CJIS Division and/or one or more III states will be provided immediately via the Nlets. For state-maintained records, which are not provided immediately, an acknowledgement will be sent via Nlets advising when the record will be provided. A requester will receive multiple record responses when the record is maintained by more than one database.

The III has single-source and multi-source test records established for each III state. (Appendix D of this manual provides the FBI UCNs of these records.) Agencies should use these records for testing and training instead of actual records.

Should a user receive a state record that requires clarification, the Nlets Help Files (Criminal History [AM]), available via Nlets, include a state contact that can answer questions regarding that state's record.

3.4.3 RESPONSE HEADERS

The first four characters in the response header indicate the type of response that is being provided. The following are characters that may be received in response to a QR record request message:

<u>Header</u>	<u>QR Response Definitions</u>
2L01	Response transmitted when the record is no longer on file due to record consolidation, deletion, expungement, or the subject's death.
EL01	Initial III positive response transmitted when one or more states are providing the criminal history record.
FL01	Initial III positive response transmitted when the FBI's CJIS Division is providing the entire criminal record or a portion of the record.
GL01	Response transmitted when file or technical problems are encountered in processing a response.
HL01	Message advising that the record response is being delayed.
JL01	Reject message. (More information concerning reject messages can be found in Appendix C of this manual.)

ML01	III state record response.
NL01	Response transmitted when there is no record or record is not on file.
PL01	Message advising that a record will not be provided.

3.4.4 EXAMPLES—INTRODUCTION

This section describes the various responses furnished as a result of a QR record request message. If a record matching the FBI UCN or SID Number included in the QR record request message is available via the III, the III will send an online response to the requester. The initial response indicates the source(s) (the FBI's CJIS Division and/or a state[s]) from which the record will be provided. Following this response, the source(s) will individually provide its record pertaining to the subject.

3.4.4.1 POSITIVE RESPONSE CONTAINING AN FBI IdHS

The III will transmit the following response to the requester when only the FBI's CJIS Division, or the FBI's CJIS Division and one or more III state(s), furnishes a record. This type of response is transmitted with a header beginning with FL01. The header alerts the requester that another III response can be expected. It also serves as an immediate notification that a record response from the FBI's CJIS Division is being processed.

```
FL01HEADERXXXX01234
```

```
DCFBIWA10
```

```
THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
RECORD REQUEST FOR FBI/9021100. INDIVIDUAL'S RECORD WILL BE COMPLETE
WHEN ALL RESPONSES ARE RECEIVED FROM THE FOLLOWING SOURCES EXCEPT FOR
THOSE INDICATED AS DECEASED:
```

```
FBI - FBI/9021100
NORTH CAROLINA - STATE ID/NC00000008 - DECEASED
TEXAS - STATE ID/TX00000007
```

```
AN ADDITIONAL RECORD MAY BE OBTAINED FROM FILES WITHIN YOUR STATE.
END
```

The phrase EXCEPT FOR THOSE INDICATED AS DECEASED will be appended when a multi-source record contains a SID Number that has been flagged by the state as deceased.

The last line will be included only when a record request is received over a state line and a SID Number for that state is indexed in the III.

3.4.4.2 FBI IdHS QR CAVEATS

When the QR record request message contains Purpose Code I, J, or S, the following caveat will be inserted in the INTRODUCTION section of the record response:

THIS RECORD IS SUBJECT TO THE FOLLOWING USE AND DISSEMINATION RESTRICTIONS. UNDER PROVISIONS SET FORTH IN TITLE 28, CODE OF FEDERAL REGULATIONS (CFR), SECTION 50.12, BOTH GOVERNMENTAL AND NONGOVERNMENTAL ENTITIES AUTHORIZED TO SUBMIT FINGERPRINTS AND RECEIVE FBI IDENTIFICATION RECORDS MUST NOTIFY THE INDIVIDUALS FINGERPRINTED THAT THE FINGERPRINTS WILL BE USED TO CHECK THE CRIMINAL HISTORY RECORDS OF THE FBI. IDENTIFICATION RECORDS OBTAINED FROM THE FBI MAY BE USED SOLELY FOR THE PURPOSE REQUESTED AND MAY NOT BE DISSEMINATED OUTSIDE THE RECEIVING DEPARTMENT, RELATED AGENCY OR OTHER AUTHORIZED ENTITY. IF THE INFORMATION ON THE RECORD IS USED TO DISQUALIFY AN APPLICANT, THE OFFICIAL MAKING THE DETERMINATION OF SUITABILITY FOR LICENSING OR EMPLOYMENT SHALL PROVIDE THE APPLICANT THE OPPORTUNITY TO COMPLETE, OR CHALLENGE THE ACCURACY OF, THE INFORMATION CONTAINED IN THE FBI IDENTIFICATION RECORD. THE DECIDING OFFICIAL SHOULD NOT DENY THE LICENSE OR EMPLOYMENT BASED ON THE INFORMATION IN THE RECORD UNTIL THE APPLICANT HAS BEEN AFFORDED A REASONABLE TIME TO CORRECT OR COMPLETE THE INFORMATION, OR HAS DECLINED TO DO SO. AN INDIVIDUAL SHOULD BE PRESUMED NOT GUILTY OF ANY CHARGE/ARREST FOR WHICH THERE IS NO FINAL DISPOSITION STATED ON THE RECORD OR OTHERWISE DETERMINED. IF THE APPLICANT WISHES TO CORRECT THE RECORD AS IT APPEARS IN THE FBI CJIS DIVISION RECORDS SYSTEM, THE APPLICANT SHOULD BE ADVISED THAT THE PROCEDURES TO CHANGE, CORRECT OR UPDATE THE RECORD ARE SET FORTH IN TITLE 28, CFR, SECTION 16.34.

When the QR record response contains **civil only identities** for inquiries under Purpose Code C or A, the following unique caveat will be returned:

THIS RECORD CONTAINS INFORMATION FROM A NON-CRIMINAL JUSTICE EVENT(S). THIS INFORMATION SHOULD SOLELY BE USED TO ESTABLISH IDENTITY IN THE SCOPE OF THE CRIMINAL JUSTICE OR OTHER AUTHORIZED PURPOSE FOR WHICH IT WAS OBTAINED.

When the QR record request message contains Purpose Code D, the following unique caveat will be inserted in the INTRODUCTION section of the record response:

THE RECORD IS SUBJECT TO THE FOLLOWING USE AND DISSEMINATION RESTRICTIONS. THIS RESPONSE MAY BE USED FOR ONLY PURPOSES OF THE VIOLENT CRIME CONTROL ACT OF 1994, PUBLIC LAW 103-322, SUBTITLE F-- NATIONAL STALKER AND DOMESTIC VIOLENCE REDUCTION.

When the QR no record response contains Purpose Code X, the following unique caveat will be inserted immediately prior to the END of the response:

THIS RESPONSE IS PROVIDED DUE TO EXIGENT CIRCUMSTANCES FOR USE BY AN AGENCY AUTHORIZED BY BOTH YOUR STATE RECORD REPOSITORY AND THE FBI.

THE SUBMISSION OF FINGERPRINTS TO THE STATE/FBI IS REQUIRED WITHIN THE NUMBER OF DAYS AS SPECIFIED BY THE COMPACT COUNCIL AND AS PUBLISHED IN THE FEDERAL REGISTER.

When the QR positive response contains Purpose Code X, the following unique caveat will be inserted in the III initial record response:

THIS RECORD IS SUBJECT TO THE FOLLOWING USE AND DISSEMINATION RESTRICTIONS: THIS RESPONSE IS PROVIDED DUE TO EXIGENT CIRCUMSTANCES FOR USE BY AN AGENCY AUTHORIZED BY BOTH YOUR STATE RECORD REPOSITORY AND THE FBI. THE SUBMISSION OF FINGERPRINTS TO THE STATE/FBI IS REQUIRED WITHIN THE NUMBER OF DAYS AS SPECIFIED BY THE COMPACT COUNCIL AND AS PUBLISHED IN THE FEDERAL REGISTER.

UNDER PROVISIONS SET FORTH IN TITLE 28, CODE OF FEDERAL REGULATIONS (CFR), SECTION 50.12, GOVERNMENTAL ENTITIES AUTHORIZED TO SUBMIT FINGERPRINTS AND RECEIVE FBI IDENTIFICATION RECORDS MUST NOTIFY THE INDIVIDUALS FINGERPRINTED THAT THE FINGERPRINTS WILL BE USED TO CHECK THE CRIMINAL HISTORY RECORDS OF THE FBI. IDENTIFICATION RECORDS OBTAINED FROM THE FBI MAY BE USED SOLELY FOR THE PURPOSE REQUESTED AND MAY NOT BE DISSEMINATED OUTSIDE THE RECEIVING DEPARTMENT, RELATED AGENCY OR OTHER AUTHORIZED ENTITY. IF THE INFORMATION ON THE RECORD IS USED TO DETERMINE SUITABILITY, THE OFFICIAL MAKING THE DETERMINATION SHALL PROVIDE THE INDIVIDUAL THE OPPORTUNITY TO COMPLETE, OR CHALLENGE THE ACCURACY OF, THE INFORMATION CONTAINED IN THE FBI IDENTIFICATION RECORD. PROCEDURES FOR AN INDIVIDUAL TO CHANGE, CORRECT OR UPDATE AN FBI RECORD ARE SET FORTH IN TITLE 28, CFR, SECTION 16.34.

Although a III state's SID Number may be indexed in the III for a particular record subject, the FBI's CJIS Division will provide any wanted person and sexual offender registry information for the subject as part of its Identification Record, thus creating a multi-source offender (MSO) record. (For more information regarding the Sexual Offender Registry and Wanted Person Flagging, refer to [Chapter 7](#) in this manual.)

3.4.4.3 III INITIAL RESPONSE WHEN A III STATE(S) PROVIDES THE CRIMINAL HISTORY RECORD(S)

When the requested record will be provided in its entirety by a III state(s), the III response will contain a header beginning with EL01.

EL01HEADERXXXX01234

VAVSP0000

THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR RECORD REQUEST FOR FBI/9011100. INDIVIDUAL'S RECORD WILL BE COMPLETE WHEN ALL RESPONSES ARE RECEIVED FROM THE FOLLOWING SOURCES EXCEPT FOR THOSE INDICATED AS DECEASED:

NORTH CAROLINA	- STATE ID/NC00000005
TEXAS	- STATE ID/TX00000003

END

3.4.4.4 III RESPONSE WHEN A REQUESTING AGENCY'S STATE REPOSITORY MAINTAINS THE ONLY RECORD ON THE SUBJECT

III state database(s) should be programmed to avoid the transmission of QR record request messages via the III if the QR record request message relates to a record maintained by that state and the record is flagged in the requesting state's database as a single-source record. However, in those instances when such a QR record request message is inadvertently forwarded to the III, the III will reply with the following EL01 type response:

```
EL01HEADERXXXX01234
VAVSP0000
THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
RECORD REQUEST FOR FBI/9007000. THE RECORD MAY BE OBTAINED FROM FILES
WITHIN YOUR STATE - THE INTERSTATE IDENTIFICATION INDEX CONTAINS NO
ADDITIONAL DATA.
END
```

3.4.4.5 QR RECORD REQUEST RESPONSE WHEN THE RECORD IS NOT INDEXED IN THE III

The following example illustrates a QR record request response that the III generates when the record is not indexed in the III.

```
NL01HEADERXXXX01234
VAVSP0000
NO IDENTIFIABLE RECORD IN THE INTERSTATE IDENTIFICATION INDEX (III) FOR
FBI/9126285.PUR/C.
NOTICE -- THIS DOES NOT PRECLUDE THE POSSIBLE EXISTENCE OF MATCHING
RECORDS IN LOCAL, STATE, OR FBI CJIS DIVISION FILES THAT ARE NOT
INDEXED IN THE NCIC/III. IF YOU DESIRE A SEARCH OF THE FBI CJIS
DIVISION FILES, A FINGERPRINT CARD SHOULD BE SUBMITTED.
END
```

3.4.4.6 QR RECORD REQUEST RESPONSE WHEN THE RECORD HAS BEEN REMOVED FROM THE III AS A RESULT OF A CONSOLIDATION, DELETION, EXPUNGEMENT, OR THE SUBJECT'S DEATH

The following example illustrates the response provided by the III when the record has been removed from the III because it has been consolidated with another record, deleted, expunged, or the subject is deceased. **The III will provide this type of response only**

when the agency uses an FBI UCN or a NAM and an FBI UCN to make the record request.

2L01HEADERXXXX01234.QR.HI002015Y.FBI/9015174.PUR/C.ATN/SALLYROO

2L01HEADERXXXX01234

VAVSP0000

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF
YOUR RECORD REQUEST FOR FBI/9015174 PUR/C ATN/SALLYROO

RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/9000001 20121201
END

(or)

RECORD NO LONGER ON FILE - DELETED 20161201
END

(or)

RECORD NO LONGER ON FILE - EXPUNGED 20161201
END

(or)

RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT SUMTER SC 20161201
END

NOTE: III records can be deleted permanently (e.g., when a record was established in error or when the subject has reached 110 years of age) or temporarily (e.g., if internal corrections are needed and the record must be reentered).

3.4.4.7 QR RECORD REQUEST RESPONSE WHEN THE III IS UNABLE TO CONTACT THE III STATE RESPONSIBLE FOR THE RECORD

When the state's database is temporarily out of service or otherwise unable to accept a record request from the III, there is a delayed response. When a response is delayed, the agency requesting the record should not make additional requests because this results in multiple responses providing the same record when the affected state system resumes full service. When a record request has been queued for more than 20 minutes, a message will be transmitted to the requester advising of the delay. The message header will begin with HL01, as the following example shows:

HL01HEADERXXXX01234

VAVSP0000

THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR RECORD REQUEST FOR FBI/9001100. THE NCIC HAS BEEN UNABLE TO NOTIFY THE FOLLOWING BUT WILL CONTINUE TO RETRY:

TEXAS - STATE ID/TX01346790
END

When a record request has been queued for 4 hours, it will be destroyed. When this happens, the III transmits a message to the requester with the header PL01.

PL01HEADERXXXX01234
VAVSP0000
THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR RECORD REQUEST FOR FBI/9001100. THE NCIC HAS BEEN UNABLE TO NOTIFY THE FOLLOWING AND WILL NO LONGER CONTINUE TO RETRY:

TEXAS - STATE ID/TX01346790

YOUR RECORD REQUEST MAY BE RESUBMITTED IF THE RECORD IS STILL NEEDED.
END

3.4.4.8 QR RECORD REQUEST RESPONSE TO A SINGLE-SOURCE RECORD REQUEST WHEN THE RECORD HAS BEEN SEALED

The following example illustrates a QR record request response generated from the III when a single-source record is sealed:

Response:

NL01XXXXHEADERXXXX01234
DCFBIWA10
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III) FOR FBI/9004000.PUR/I.
NOTICE - THIS DOES NOT PRECLUDE THE POSSIBLE EXISTENCE OF MATCHING RECORDS IN LOCAL, STATE, OR FBI CJIS DIVISION FILES THAT ARE NOT INDEXED IN THE NCIC/III. IF YOU DESIRE A SEARCH OF THE FBI CJIS DIVISION FILES, A FINGERPRINT CARD SHOULD BE SUBMITTED.
END

3.4.4.9 QR RECORD REQUEST RESPONSE WHEN THE REQUESTED RECORD WAS ESTABLISHED SOLELY BY NONCRIMINAL JUSTICE EVENTS

With the implementation of the FBI UCN for indexing identity history summaries for noncriminal justice events in September 2014, identity confirmation based on a noncriminal justice event became available for criminal justice purposes using the FBI UCN and the QR record request message. Record requests made using the FBI UCN, which returns an FBI IdHS comprised of noncriminal justice event data only, is a new response transmitted via the III since the implementation of the NGI.

A QR response will indicate the presence of an identification record established solely by noncriminal justice events for criminal justice and administrative QR record requests. Only the individual's demographic data will be returned to the user, along with an FBI UCN. For authorized noncriminal justice QR record requests, the III will provide a "no record" response.

For programming information and examples of state specific output of record responses via the III for Purpose Codes C and A, please reference Chapter 15 in the *Interstate Criminal History Transmission Specification*, 4.1, maintained by the Nlets at: <http://wiki.nlets.org/>.

The following example illustrates a QR record request reject response for all other purpose codes that the III generates when the FBI UCN is associated with an IdHS comprised solely of noncriminal justice event data.

Inquiry:

```
2L01HEADERXXXX01234.QR.VAVSP0000.FBI/13329NA7.PUR/I (EOT)
```

Response:

The following example illustrates a QR record request response that the III generates when the record is not indexed in the III.

```
NL01HEADERXXXX01234
VAVSP0000
NO IDENTIFIABLE RECORD IN THE INTERSTATE IDENTIFICATION INDEX (III) FOR
FBI/13329NA7.PUR/I.
NOTICE -- THIS DOES NOT PRECLUDE THE POSSIBLE EXISTENCE OF MATCHING
RECORDS IN LOCAL, STATE, OR FBI CJIS DIVISION FILES THAT ARE NOT
INDEXED IN THE NCIC/III. IF YOU DESIRE A SEARCH OF THE FBI CJIS
DIVISION FILES, A FINGERPRINT CARD SHOULD BE SUBMITTED.
END
```

Response:

The following example illustrates a QR record response that contains **civil only identities** for inquiries under Purpose Code C or A. This unique caveat will be returned:

```
THIS RECORD CONTAINS INFORMATION FROM A NON-CRIMINAL JUSTICE EVENT(S).
THIS INFORMATION SHOULD SOLELY BE USED TO ESTABLISH IDENTITY IN THE
SCOPE OF THE CRIMINAL JUSTICE OR OTHER AUTHORIZED PURPOSE FOR WHICH IT
WAS OBTAINED
```

SECTION 3.5—QWI INQUIRY MESSAGE**3.5.1 INTRODUCTION—QWI INQUIRY—COMBINED III AND NCIC TRANSACTIONS**

The QWI transaction allows the user to access both the III and the NCIC by performing one transaction. Because this inquiry is treated by NCIC as a QWA and by III as a QH, the same policies for performing transactions apply to the QWI transaction. The NCIC and the III will return positive and/or negative responses independently. The NCIC will return Wanted Person File records matching the search criteria regardless of the seriousness of the offense or extradition. The III does not use the IND, RSH, ENS, and EBS Fields. The NCIC does not use the PUR and ATN Fields. The following caveat will be included in the QWI response:

***MESSAGE KEY QWI SEARCHES ALL NCIC PERSONS FILES WITHOUT LIMITATIONS.

3.5.2 EXAMPLE OF A QWI INQUIRY MESSAGE AND RESPONSE

The following example shows a QWI inquiry message containing the NCIC response and the III response:

Example:

1N01HEADER.QWI.NY5100300.NAM/GREEN,BENJAMIN C.PUR/C.
MNU/AF-123456789.SOC/123456789.SEX/M.RAC/W.DOB/19620621.IND/N.RSH/N.
ENS/N.EBS/1.ATN/DET JONES

NCIC Response:

1L01HEADER
NY1510300

NO NCIC WANT DOB/19620621 NAM/GREEN,BENJAMIN C SEX/M RAC/W
NO NCIC WANT SOC/123456789
NO NCIC WANT MNU/AF-123456789

***MESSAGE KEY QWI SEARCHES ALL NCIC PERSONS FILES WITHOUT LIMITATIONS.

III Response:

2L01HEADER
NY1510300

THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR INQUIRY
ON NAM/GREEN,BENJAMIN C SEX/M RAC/W DOB/19620621 PUR/C

NAME	FBI NO.	INQUIRY DATE
GREEN,BENJAMIN C.	9015174	2014/09/10

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III/NFF MANUAL

Chapter 3—Inquiries and Record Requests

SEX	RAC	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1962/06/21	601	189	BLU	BRO	PENNSYLVANIA	N

FINGERPRINT CLASS	PATTERN CLASS
23 17 18 19 17	RS LS WU WU LS RS WU WU RS WU
24 18 19 19 17	RS LS WU WU LS RS WU WU RS WU

ALIAS NAMES
GREEN, JOHN

OTHER	SCARS-MARKS-		
BIRTH DATES	TATTOOS	SOCIAL SECURITY	MISC NUMBERS
1944/11/25	TAT R ARM	666-11-6666	AS-563435916

IDENTIFICATION DATA UPDATED 2012/11/07

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

FLORIDA - STATE ID/FL0000123
FBI - FBI/9015174

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.
END

3.5.3 QWI TRANSACTION FORMAT

<u>Field Name</u>	<u>Requirements</u>	<u>Message Field Code</u>	<u>Field Length</u>	<u>Data Type</u>
Header	Mandatory	HDR	9-19	Alphabetic, Numeric, Special Characters
Message Key	Mandatory	MKE	3-3	Alphabetic
Originating Agency Identifier	Mandatory	ORI	9-9	Alphabetic, Numeric
Name	Mandatory	NAM	3-30	Alphabetic, Numeric, Special Characters
Purpose Code	Mandatory	PUR	1-1	Alphabetic
Miscellaneous Number	Conditional	MNU	4-15	Alphabetic, Numeric, Special Characters
Social Security Number	Conditional	SOC	9-9	Numeric
Sex	Conditional	SEX	1-1	Alphabetic
Race	Conditional	RAC	1-1	Alphabetic
Date of Birth	Conditional	DOB	8-8	Numeric
Image Indicator	Optional	IND	1-1	Alphabetic
Related Search Hit	Optional	RSH	1-1	Alphabetic
Expanded Name Search	Optional	EBS	1-1	Numeric
Attention	Optional	ATN	3-30	Alphabetic, Numeric, Special Characters

SECTION 3.6—ZR INQUIRY MESSAGE

3.6.1 INTRODUCTION

Requesters may use a ZR inquiry message to determine if a record corresponding to a particular FBI UCN or SID Number is available via the III. The response to the ZR inquiry message will advise whether the record is on file. This capability is provided primarily for administrative record maintenance; however, it is available to all users. The MFC for FBI UCN should be FBI/.

3.6.2 ZR INQUIRY

The following example contains the data elements necessary for a ZR inquiry message. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an agency uses an MFC, the III will transmit a reject message.

Example:

```
2L01HEADERXXXX01234.ZR.VAVSP0000.FBI/9015174.PUR/A
```

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
ZR.	Message Key	--
VAVSP0000.	Designated State Agency Identifier	--
*FBI/9015174.	FBI UCN	FBI/
**PUR/A	Purpose Code	PUR/

*Agencies may use the SID Number in lieu of the FBI UCN. When used, the SID Number must be preceded by SID/. Because an FBI pseudo-pointer for state data is not a SID Number, it cannot be used in the SID Field.

**The use of a purpose code is optional; however, when the message is for other than administrative purposes, the agency must use Purpose Code C or J as appropriate.

3.6.3 EXAMPLE OF A POSITIVE RESPONSE

A positive response to a ZR inquiry message will appear in the format illustrated below. The first four characters of the response header will be 5L01.

```
5L01HEADERXXXX01234
FL0370100
FBI/9015174 ON FILE
```


As applicable, SID/ (number) will replace FBI/.

3.6.4 EXAMPLE NEGATIVE RESPONSE

A negative response to a ZR inquiry message will appear in the format illustrated below. The first four characters of the response header will be NL01.

```
NL01HEADERXXXX01234
FL0370100
FBI/9015174 NOT ON FILE
```

As applicable, the SID/(number) will replace the FBI/.

3.6.5 A ZR INQUIRY MESSAGE RESPONSE WHEN THE RECORD HAS BEEN REMOVED FROM THE III AS A RESULT OF A CONSOLIDATION, DELETION, EXPUNGEMENT, OR THE SUBJECT'S DEATH

The III will provide the following type of response when a record has been removed from the III because it has been consolidated with another record, deleted, expunged, or because the subject is deceased. III will provide this type of response only when the inquiry uses an FBI UCN.

Inquiry:

```
2L01HEADERXXXX1234.ZR.VAVSP0000.FBI/9015174.PUR/C
```

Response:

```
2L01HEADERXXXX1234
VAVSP0000
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON FBI/9015174 PUR/C
```

```
RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/901283 20121201
END
```

(or)

```
RECORD NO LONGER ON FILE - DELETED 20121201
END
```

(or)

```
RECORD NO LONGER ON FILE - EXPUNGED 20121201
END
```

(or)

```
RECORD NO LONGER ON FILE - DECEASED
```

PER POLICE DEPARTMENT SUMTER SC 20121201
END

SECTION 3.7—ZI INQUIRY MESSAGE

3.7.1 INTRODUCTION

A ZI inquiry message is available to III states for administrative purposes only. A ZI inquiry message shows:

Whether the III contains a state's SID Number or an FBI pseudo-pointer for state data and the date the SID Number or FBI pseudo-pointer was entered in the III.

- A. Whether the III record is single-source or multi-source.
- B. Whether the III record contains a Wanted Person or a National Sex Offender Registry pointer.
- C. The Identification for Firearms Sales (IFS) flag and the Record Sealing (SEL) flag.
- D. The date the record was established in the III.
- E. The date the record was last updated.
- F. Other identifying data such as scars, marks, and tattoos (SMT); date of birth (DOB); social security number (SOC); miscellaneous numbers (MNU); and alias (AKA).

3.7.2 ZI INQUIRY

The following example contains the data elements necessary for a ZI inquiry message. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an agency uses an MFC, the III will transmit a reject message.

Example:

```
2L01HEADERXXXX01234.ZI.NCDCI0000.FBI/9006600.PUR/A
```

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
ZI.	Message Key	--
NCDCI0000.	Designated State Agency Identifier	--
*FBI/9006600.	FBI UCN	FBI UCN/
**PUR/A	Purpose Code	PUR/

*Agencies may use the SID Number in lieu of the FBI UCN. When an agency uses a SID Number, it must be preceded by SID/. Because an FBI pseudo-pointer for state data is not a SID Number, it cannot be used in the SID Field.

**Only Purpose Code A is allowed for ZI inquiry messages.

3.7.3 EXAMPLE POSITIVE RESPONSE

The III will return a positive response to a ZI inquiry message in all instances with the response header characters of 9L01, as shown below:

```
9L01HEADERXXXX01234
NCDCI0000
IDENTIFICATION SEGMENT III RECORD OF FBI/9006600 2014/09/20
ROVER,ROVING R M B MI DOB/19571201 HGT/507 WGT/140 EYE/BLK HAI/BLK
SMT/SC R ARM SOC/045508551 FPC/UCUCUCUCUCUCUCUCUCUC
ADDITIONAL IDENTIFIERS -
DOB/19560307 19560720 19560523 19571001 19470101
SOC/045308551
SMT/SC L ARM TAT UL ARM SC RF ARM
AKA/ROVER,ROVING CHIEFLITTLEHORN,TEST SMITH,JANE TEST,RECORD
AKA/TEST,THREE III TEST,TEST TEST
DLU/20101217 DRE/19891028
III FLAGS/C0
OHA000004(19891028) NC0999960A(19891031) MI0000495X(19891121)
MT00000005(20101217) (IFS/X) (SEL/N) MISX072056 (19991018)
MIWP072056 (19980126)
BASED ON FBI NUMBER ONLY
THIS RECORD CAN BE USED FOR ADMINISTRATIVE PURPOSES ONLY AND CANNOT BE
DISSEMINATED FOR ANY OTHER PURPOSE.
END
```

The following items provide an explanation of the information contained in a ZI inquiry message positive response.

- A. The date following the FBI/ is the date of the inquiry.
- B. The FPC (Fingerprint Classification)/Field of the Identification Segment III Record will be blank for records created after July 28, 1999. On that date, the Identification Division Automated System database was merged into the III segment of the Integrated Automated Fingerprint Identification System (IAFIS) as the then-primary maintenance provider for the criminal history records of the III. On September 7, 2014, the NGI System replaced the IAFIS.
- C. Only fields containing information will be provided.

- D. The date of the last update (DLU) will change whenever any change is made to any part of the record in the III.
- E. “DRE” is the date the record was established in the III.
- F. “ADDITIONAL IDENTIFIERS” contains additional identifiers associated with the record (i.e., DOB, SOC, AKA, MNU, SMT).
- G. “III FLAGS” is a two-character code indicating the type of pointer in the III record. The code indicates, for example, whether the record contains a state SID Number(s), an FBI pseudo-pointer(s), a US pointer for federal arrest(s), or a combination of the three. In addition, the code can indicate whether the record contains one or more state SID Numbers and a Wanted Person (WP) or National Sex Offender Registry (NSOR) pointer. Codes for this field follow.

<u>Code</u>	<u>Description</u>
08	The record contains an FBI pseudo-pointer for one state.
40	The record contains a state SID pointer for one state.
88	The record contains two or more FBI pseudo-pointers, or one US pointer, or one or more FBI pseudo-pointers and a US pointer.
C0	The record contains a state SID pointer for two or more states.
C8	The record contains a state SID pointer for one or more states and either an FBI pseudo-pointer for one or more states and/or a US pointer, or a SID pointer for one or more states and a Wanted Person or National Sex Offender Registry (NSOR) pointer.

- H. “POINTERS” list the SID Number(s) and/or FBI pseudo-pointer(s) in a record and, when applicable, a WP or NSOR (SX) pointer. If a subject’s record contains both a Wanted Person and a National Sex Offender Registry notice, only the NSOR (SX) pointer will be provided in the ZI inquiry response. The date each III pointer was established will be shown in parentheses following each pointer, including the date of issue for the want and the date the individual was registered as a sexual offender in the NCIC. If a SID Number is modified to an FBI pseudo-pointer or vice versa, the date will change accordingly. The date will not change when a state SID Number is modified from one state SID Number to another, or if an FBI pseudo-pointer is modified from one FBI pseudo-pointer to another. A US pointer with the letters “US” as the first two characters indicates that the FBI’s CJIS Division will provide federal arrest data in response to a record request. A pointer with “WP” in positions three and four represents Wanted Person data to be provided by the FBI’s CJIS Division. A pointer with “SX” in positions three and four represents Sexual Offender Registrant

data to be provided by the FBI's CJIS Division. A WP pointer consists of the two-character state code followed by WP and the six-character DOB, e.g., NCWP062056. If the WP information is from a federal agency, the two-character state code of the state in which the federal agency is located will be used rather than US. If there is more than one want in the III record, the WP pointer will represent only the first want to be disseminated by the FBI. An NSOR pointer consists of the two-character state code followed by the letters SX and the six-character DOB, e.g., PASX120363. If there is more than one NSOR record in the III record, the SX pointer will represent only the first NSOR record that the III disseminated.

NOTE: The III lists the WP or SX pointers only when there is no state pseudo-pointer and/or no federal/US pseudo-pointer present. If both a WP and SX pointer exists, only the SX pointer will return on a ZI.

- I. If the inquiry was made by an agency using a SID Number, "BASED ON SID ONLY" will appear in lieu of "BASED ON FBI NUMBER ONLY".
- J. The caveat "THIS RECORD CAN BE USED FOR ADMINISTRATIVE PURPOSES ONLY. . . ." indicates the record is for administrative purposes and cannot be disseminated for any other purpose.
- K. The last line of the ZI response will be the word END.

3.7.4 EXAMPLE OF A NEGATIVE RESPONSE

A negative response to a ZI inquiry message will appear in the format illustrated in the following example. The first four characters of the response header will be NL01.

```
NL01HEADERXXXX01234  
NCDICI0000  
FBI/9026285 NOT ON FILE
```

When applicable, a SID/ will replace FBI/(number).

3.7.5 ZI INQUIRY MESSAGE RESPONSE TO AN INQUIRY BY AN AGENCY USING AN FBI UCN WHEN THE RECORD IS NO LONGER IN THE III BECAUSE IT HAS BEEN CONSOLIDATED WITH ANOTHER RECORD, DELETED, EXPUNGED, OR THE SUBJECT IS DECEASED

The III will return a response header with 2L01 as its first four characters in response to an inquiry by an agency using an FBI UCN when the record is no longer in the III because it has been consolidated with another record, deleted, expunged, or the subject is deceased. Inquiries

made by an agency with a SID Number will result in an NL01 type response because SID Numbers are retained only for audit (synchronization) purposes.

2L01HEADERXXXX01234

NCDCI0000

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR INQUIRY ON FBI/9015174 PUR/A

RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/9026285 20121201
END

(or)

RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT SUMTER SC 20121201
END

(or)

RECORD NO LONGER ON FILE - DELETED 20121201
END

(or)

RECORD NO LONGER ON FILE - EXPUNGED 20121201
END

SECTION 3.8—ZRS INQUIRY MESSAGE

3.8.1 INTRODUCTION

A ZRS inquiry is used to determine whether the record corresponding to a specific SID Number or FBI UCN is a single-source or multi-source record. The use of the ZRS inquiry message is limited to III participating states. A ZRS inquiry message is also used to verify the status of a III record and to generate receipt of a \$.A.SSO (single-source) or \$.A.MSO (multi-source) message.

3.8.2 ZRS INQUIRY

The only fields requiring an MFC are the SID Number or FBI UCN and the purpose code, when used.

The following example contains the data elements necessary for a ZRS inquiry message. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an agency uses an MFC, the III will transmit a reject message.

Example:

```
2L01HEADERXXXX01234.ZRS.MD1012600.SID/MD81331911.PUR/A
```

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
ZRS.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
*SID/MD81331911.	SID being verified	SID/
**PUR/A	Purpose Code	PUR/

*Agencies may use an FBI UCN in lieu of a SID Number. When used, the FBI UCN must be preceded by FBI/. Since an FBI pseudo-pointer for state data is not a SID Number, it cannot be used in the SID Field.

**The use of a purpose code is optional; however, when the message is for other than administrative purposes, agencies must use Purpose Code C or J as appropriate.

3.8.3 POSITIVE RESPONSE USING SID NUMBERS

A positive response to a ZRS inquiry message will always begin with the response header characters 5L01, as shown below:


```
5L01HEADERXXXX01234
VAVSP0000
SID/VA81331911 ON FILE III RECORD IS SINGLE-STATE (or MULTI-STATE)
```

In addition to the above response, the III will transmit the applicable single-source (\$.A.SSO) or multi-source (\$.A.MSO) status message. Additional information regarding MSO and SSO messages is provided in [Chapter 4](#) of this manual.

3.8.4 RESPONSE WHEN THE SID NUMBER IS NOT ON FILE OR THE SID NUMBER IS FLAGGED AS DECEASED OR EXPUNGED

The response to a ZRS inquiry message when the SID Number is no longer on file or it has been flagged as deceased or expunged will always begin with the response header characters NL01, as shown below:

```
NL01HEADERXXXX1234
HI002015Y
SID/VA81331911 NOT ON FILE
```

3.8.5 EXAMPLE OF A RESPONSE TRANSMITTED WHEN AN FBI PSEUDO-POINTER IS USED IN THE SID FIELD

When attempting a ZRS inquiry message using an FBI pseudo-pointer in the SID Field, the III will send a reject message when an agency uses a pseudo-pointer in the SID Field in a ZRS inquiry message. The reject message will be sent beginning with the response header character JL01, as shown below:

```
JL01HEADERXXXX01234
VAVSP0000
REJECT ZRS.SID/VA**062056.PUR/A
FOR THE FOLLOWING REASON(S)
    FIELD ERROR SID
END
```

3.8.6 ZRS INQUIRY MESSAGE RESPONSES USING AN FBI NUMBER

The following is an example of a response when an FBI UCN is on file and a III record contains the inquiring state's SID Number:

```
5L01HEADERXXXX01234
VAVSP0000
FBI/9015174 ON FILE III RECORD IS SINGLE-STATE (OR MULTI-STATE)
```

In addition to the above response, the III will transmit the applicable single-source (\$.A.SSO) or multi-source (\$.A.MSO) status message.

The following is an example of a response when the FBI UCN is on file but the III record contains (1) only an FBI pseudo-pointer for the state, (2) no SID Number or FBI pseudo-pointer for the state, or (3) a SID Number that is associated with a subject who is deceased or a record that is expunged:

```
5L01HEADERXXXX01234
VAVSP0000
FBI/9015174 ON FILE NO SID ON FILE FOR YOUR STATE
```

The following is an example of a response when the FBI UCN is not on file:

```
NL01HEADERXXXX01234
VAVSP0000
FBI/9015174 NOT ON FILE
```

The following is an example of a response when the FBI UCN has been consolidated, deleted, expunged, or when the subject is deceased:

```
2L01HEADERXXXX01234
VAVSP0000
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON FBI/9015174 PUR/A
```

```
RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/9026285 20120121
END
```

(or)

```
RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT SUMTER SC 20120121
END
```

(or)

```
RECORD NO LONGER ON FILE - DELETED 20120121
END
```

(or)

```
RECORD NO LONGER ON FILE - EXPUNGED 20120121
END
```

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CHAPTER 4—ENTERING RECORDS**SECTION 4.1—III ACCURACY****4.1.1 INTRODUCTION**

This section addresses the responsibility of both the Criminal Justice Information Services (CJIS) Division and the states to maintain the integrity of criminal history record information indexed in the III. State and FBI procedures concerning III records must ensure:

- The records represent documented criminal history record information based on criminal fingerprint submissions.
- The records are complete and accurate, and the information is entered in a timely manner.
- The data in the III are synchronized with the III state criminal history record files.

4.1.2 PRIMARY MAINTENANCE OF INDEXED RECORDS

In June 1982, the III Subcommittee and the National Crime Information Center (NCIC) Advisory Policy Board (APB) approved the use of the FBI Automated Identification Division System (renamed the Identification Division Automated System [IDAS]) to maintain the III database. Because of the IDAS, III participating states did not require as much programming efforts to develop extensive online entry and maintenance capabilities.

Subsequently, at its meeting in October 1983, the NCIC APB endorsed the III Subcommittee's recommendation to merge the III and the IDAS indexes. This endorsement was conditional based on the fact that the Board's advisory role for the III Program was not to be altered, diminished, or otherwise adversely affected by the merging of the two indexes. This merger became effective on June 4, 1989.

On July 28, 1999, the IDAS database was merged into the III segment of the Integrated Automated Fingerprint Identification System (IAFIS) as the primary maintenance provider for the criminal history records in the III.

On September 7, 2014, the Next Generation Identification (NGI) System, where the III is now housed, replaced the IAFIS. Through system edits, III users may:

- Establish records in a timely manner.
- Identify the existence of a criminal fingerprint submission, which is the required source for establishing new records and adding pointers to existing records.
- Ensure that new records and additional pointers are established only for serious offenses.
- Provide for management of multi-source identification data that may vary from state to state.

The FBI's CJIS Division stopped rejecting nonserious offenses as of January 1, 2002. Information about this is in the *CJIS Information Letter* dated December 3, 2001, which is available on the III Special Interest Group of the Law Enforcement Enterprise Portal.

4.1.3 PERFORMING III MAINTENANCE

To perform III maintenance, III participating states may send online maintenance messages as their records are updated, expunged, corrected, etc. The states also control which of their records are established in the III. If a state does not want to establish a record, the state can place instructions on the fingerprint submission requesting that CJIS Division staff perform an NGI search and return the results. In these cases, the agency should leave the State Identification Number (SID) block blank.

The III will transmit \$.A. messages (unsolicited messages) online via the FBI's telecommunications network. These messages will advise the III states of the results that the FBI's CJIS Division found after processing the retained criminal fingerprint submissions and documents, as well as requests made for specific records.

Each III unsolicited message will be identified at the start with "\$.A.". The \$.A. will always be followed by three alphabetic characters designating the type of message.

The III will transmit all \$.A. unsolicited messages using the Message Field Cold (MFC) format. When an optional field contains no data, neither the MFC nor a period will be present to indicate missing data.

SECTION 4.2—ENTERING NEW III RECORDS OR III POINTERS**4.2.1 INTRODUCTION**

This section of the manual addresses the four \$.A. unsolicited messages (NPR [No Prior Record-III Record Established], RNP [SID Rejected-No Prior III Record], PIR [Prior Record-SID Number Entered in III Record], and RPR [SID Rejected-Prior III Record]) that the III sends when it establishes a new record from a III state or when it updates an existing record. Additional information about these unsolicited messages is presented in [Sections 4.2.3, 4.2.4, 4.2.5, and 4.2.6](#) of this chapter.

4.2.2 ENTERING NEW III RECORDS OR III POINTERS

When an agency submits an initial fingerprint submission, the III establishes a record for participating states/territories, nonparticipating states/territories, and federal and foreign offenders. Based on the first criminal fingerprint submission that the III retains, the III will transmit one of the four III \$.A. unsolicited messages for a III state. Once the III has established a pointer for a state, second or subsequent submissions from that state will not, under normal circumstances, generate additional messages to the state concerning that record. Each fingerprint submission submitted by a III state should contain a SID Number. If a submission does not contain a SID Number, the III will not link the record to the state record.

4.2.3 \$.A.NPR MESSAGE—ESTABLISHMENT OF A NEW III RECORD

When the FBI processes a III state's first arrest fingerprint submission which includes the state's SID Number that is not identified with an existing record, the FBI will establish a new III record with the SID Number as the active state pointer. To notify the state of the record's establishment, the III will send a \$.A. NPR (No Prior Record-III Record Established) message to the state. (III states may request that the \$.A.NPR unsolicited message either replace or be provided in addition to the "No Prior Record" notifications sent to State Identification Bureaus [SIBs].)

Upon receipt of a \$.A.NPR unsolicited message, the state system is designed to compare the SID Number and at least one other identifier (e.g., the name and/or the date of birth of the subject) to the record in its state file before adding the FBI Universal Control Number (UCN) and setting the status flag to indicate single-source record. Comparing at least one other identifier in addition to the SID Number will help avoid adding the FBI UCN to the wrong individual's record.

The format and an example of the "No Prior Record" message follows.

Message Format:

```
$.A.NPR.SID/(3-10 characters).FBI/(1-9 characters).ORI/(9 characters).OAN/(1-20
characters).OAC/(1-20 characters). OCA/(1-20 characters).NAM/(3-30 characters).SEX/(1
character).RAC/(1 character).DOB/(8 characters) FPC/(blank). DOA/(9 characters).NO PRIOR
RECORD - NCIC III RECORD ESTABLISHED
```

Example:

```
$.A.NPR.SID/TX12345678.FBI/9000006.ORI/TX0000001.OAN/BAYLOR COUNTY
SHERIFF.OAC/BARTHOLOMEW.OCA/A-1098132-2000020002.NAM/MULDER, FOXSPOOKY
LAMBERT.SEX/M.RAC/W.DOB/19560824.FPC/ .DOA/19900518.NO PRIOR RECORD - NCIC
III RECORD ESTABLISHED
```

4.2.4 \$.A.RNP MESSAGE—ENTRY OF NEW RECORD WHEN THE SID NUMBER IS REJECTED OR MISSING

When the FBI processes a III state's first arrest fingerprint submission and the state's SID Number is missing or already in the III for another individual and the submission is not identified with an existing record, the FBI will establish a new III record with an FBI pseudo-pointer. This pseudo-pointer will contain the two-character state code followed by two asterisks and the subject's date of birth (e.g., TX**082456). To notify the state of the record's establishment, the same basic message described in [Subsection 4.2.3](#) will be transmitted except:

- RNP will replace NPR.
- SID REJECTED - NO PRIOR NCIC III RECORD will replace NO PRIOR RECORD - NCIC III RECORD ESTABLISHED.

Upon receipt of the \$.A.RNP (SID Rejected—No Prior III Record) unsolicited message, the state personnel must review the message and enter the correct SID Number into the III using the MRS (Modify Record SID) modification message (refer to [Chapter 5, Section 5.1.](#)) The state must enter the FBI UCN in the state database prior to the submission of the MRS message. The status indicator will be set upon receipt of the \$.A.SSO (Single-Source Offender Status) message from the III. The format and an example of the \$.A.RNP message follows.

Message Format:

```
$.A.RNP.SID/(3-10 characters).FBI/(1-9 characters).ORI/(9 characters).OAN/(1-20
characters).OAC/(1-20 characters).OCA/(1-20 characters).NAM/(3-30 characters).SEX/(1
character).RAC/(1 character).DOB/(8 characters).FPC/(blank).DOA/(9 characters).SID
REJECTED--NO PRIOR NCIC III RECORD
```

Example:

```
$.A.RNP.SID/TX87654321.FBI/9000006.ORI/TX0000001.OAN/BAYLOR COUNTY
SHERIFF.OAC/BARTHOLOMEW.OCA/A-1098132-2000020002.NAM/MULDER, FOXSPOOKY
LAMBERT.SEX/M.RAC/W.DOB/19560824.FPC/ .DOA/ 19900518.SID REJECTED - NO PRIOR
NCIC III RECORD
```

4.2.5 \$.A.PIR MESSAGE—ENTRY OF A SID NUMBER IN AN EXISTING III RECORD

When the FBI processes a III state's first arrest fingerprint submission which includes the state's SID Number and the submission is identified with an existing record that contains no data from

that state, the FBI will add the arrest to the existing record and establish the SID Number as the active state pointer. To notify the state of the existing record, the same basic message described in [Subsection 4.2.3](#) will be transmitted except:

- PIR will replace NPR.
- PRIOR RECORD - SID NUMBER ENTERED IN NCIC III RECORD will replace NO PRIOR RECORD - NCIC III RECORD ESTABLISHED.

III states may request the \$.A.PIR unsolicited message either replace or be provided in addition to the FBI IdHS currently being mailed to the SIB.

Upon receipt of a \$.A.PIR (Prior Record-SID Number Entered in III Record) unsolicited message, the state system will compare the SID Number and at least one other identifier (e.g., the name and/or the date of birth of the subject) to the record in its state file before adding the FBI UCN and setting the status flag to indicate a multi-source record. This comparison will help avoid adding the FBI UCN to the wrong individual's record.

The format and an example of the \$.A.PIR message follows.

Message Format:

\$.A.PIR.SID/(3-10 characters).FBI/(1-9 characters).ORI/(9 characters). OAN/(1-20 characters).OAC/(1-20 characters).OCA/ (1-20 characters).NAM/(3-30 characters).SEX/(1 character). RAC/(1 character).DOB/(8 characters).FPC/(20 characters). DOA/(9 characters).PRIOR RECORD - SID NUMBER ENTERED IN NCIC III RECORD

Example:

```
$.A.PIR.SID/TX11223344.FBI/9000006.ORI/TX0700800.OAN/METROPOLIS POLICE
DEPT.OAC/REDOAK.OCA/6786786786786789.NAM/DOE,FRED.SEX/M.RAC/W.DOB/19560824.
FPC/PIDOPIAA141718192022.DOA/A19931123.PRIOR RECORD-SID NUMBER ENTERED IN
NCIC III RECORD
```

NOTE: If the record was established after July 1999, the FPC (Fingerprint Classification) Field will be blank.

4.2.6 \$.A.RPR MESSAGE—ENTRY OF A SID NUMBER IN AN EXISTING III RECORD WHEN THE SID NUMBER IS REJECTED OR MISSING

When the FBI processes a III state's first arrest fingerprint submission and the state's SID Number is missing, or if it is in the III for another individual (identified with an existing record that contains no data for that state), the FBI will establish the SID Number as an FBI pseudo-pointer. This pseudo-pointer will contain the two-character state code followed by two asterisks and the subject's date of birth (e.g., TX**082456). To notify the state of the existing record, the same basic message described in [Subsection 4.2.5](#) of this chapter will be transmitted except:

- RPR will replace PIR.
- SID REJECTED - PRIOR NCIC III RECORD will replace PRIOR RECORD - SID NUMBER ENTERED IN NCIC III RECORD.

Upon receipt of the \$.A.RPR (SID Rejected-Prior III Record) unsolicited message, the state personnel must review the message and enter the correct SID Number into the III using the MRS modification message. The state agency must enter the FBI UCN into its database before submitting the MRS. When the III receives the \$.A.MSO, the III will set the status indicator. The format and an example of the \$.A.RPR message follows.

Message Format:

\$.A.RPR.SID/(3-10 characters).FBI/(1-9 characters).ORI/(9 characters).OAN/(1-20 characters).OAC/(1-20 characters).OCA/(1-20 characters).NAM/(3-30 characters).SEX/(1 character). RAC/(1 character).DOB/(8 characters).FPC/(20 characters). DOA/(9 characters).SID REJECTED - PRIOR NCIC III RECORD

Example:

\$.A.RPR.SID/TX55667788.FBI/9000006.ORI/TX1950000.OAN/METROPOLIS POLICE
DEPT.OAC/PECOS.OCA/33993399339933993399.NAM/SMITH,JOHN.SEX/M.
RAC/B.DOB/19501011.FPC/DODODIDIPO1112XXXXXX.DOA/20000112.SID REJECTED - PRIOR
NCIC III RECORD

NOTE: If the record was established after July 1999, the FPC (Fingerprint Classification) Field will be blank.

SECTION 4.3—STATUS VERIFICATION MESSAGES-\$.A.SSO AND \$.A.MSO UNSOLICITED MESSAGES

4.3.1 INTRODUCTION

This section of the manual addresses the \$.A.SSO and \$.A.MSO (Multi-Source Offender Status) unsolicited messages the III sends to states owning the records notifying them their record is single-source or multi-source. The FBI's CJIS Division uses the term "single-source" to indicate that a particular record has one source or state contributing to the subject's record information. The FBI's CJIS Division uses the term "multi-source" to indicate that the particular record has more than one source contributing to the subject's Identity History Summary (IdHS) information (e.g., more than one state, one state and one federal record, or one state and a wanted person notice and/or a sexual offender registry notice.)

4.3.2 \$.A.SSO UNSOLICITED MESSAGE—SINGLE-SOURCE OFFENDER STATUS

When the status of a III record changes from multi-source to single-source, the III sends the remaining state of record a \$.A.SSO unsolicited message in the following format:

Message Format:

\$.A.SSO.SID/(3-10 characters).FBI/(1-9 characters).SINGLE-STATE OFFENDER

Example:

\$.A.SSO.SID/FL12345678.FBI/9000006.SINGLE-STATE OFFENDER

Upon receipt of this message, the state system should automatically change the record's status flag to indicate single-source.

The III will also transmit a \$.A.SSO message following a MRS modification accept message to advise of the correct record status. More information concerning a MRS modification message is furnished in [Chapter 5, Section 5.1](#), of this manual. In addition, the III will transmit a \$.A.SSO message when the cancellation of WP and/or NSOR data from III changes the status of the record to single-source.

4.3.3 \$.A.MSO UNSOLICITED MESSAGE—MULTI-SOURCE OFFENDER STATUS

When the status of a III record changes from single-source to multi-source based on adding a federal arrest, an arrest from another state, a wanted person notice, and/or a sexual offender registry notice, the III sends an \$.A.MSO unsolicited message to the original state of record. The format of that message is:

Message Format:

\$.A.MSO.SID/(3-10 characters).FBI/(1-9 characters). MULTI-STATE OFFENDER

Example:

\$.A.MSO.SID/OR09334455.FBI/9010110.MULTISTATE OFFENDER

Upon receipt of this message, the state system should automatically change the record's status flag to indicate multi-source. Additional pointers (SID, FBI UCN, WP, or NSOR) entered into a record already flagged in the III as multi-source will not result in additional \$.A.MSO unsolicited messages. The III will transmit this message only on the initial status change. In addition, the III will transmit a \$.A.MSO message following a MRS modification accept message to advise of the correct record status. More details on this topic are provided in [Chapter 5, Section 5.1](#), of this manual. For more information concerning status verification of III records, refer to [Chapter 3, Sections 3.7](#) and [3.8](#) of this manual.

SECTION 4.4—III SYNCHRONIZATION AUDITS

4.4.1 INTRODUCTION

Mandatory III audits are conducted twice a year and are generally scheduled for a Sunday in the spring and in the fall of each year. When a state agency enrolls in the III, the agency may opt for two additional audits, which are scheduled on a Sunday in the summer and in the winter, and are added to these state's schedule. For each synchronization audit, the III is placed in restricted service on the scheduled Sunday. At this time, the CJIS Division's staff creates an abbreviated copy of each state's indexed records on the requested medium format.

4.4.2 III AUDIT SYNCHRONIZATION MEDIA

The state may choose from the following media and specifications for receipt of its III records:

- File Transfer Protocol (FTP).
- Compact Disc (CD).

4.4.3 III AUDIT SYNCHRONIZATION NOTIFICATION PROCESS

Thirty days before the III synchronization, the III staff from the FBI's CJIS Division will forward an International Justice and Public Safety Network (Nlets) administrative message (AM) and/or e-mail to each state advising of the scheduled synchronization and the specific III restricted service time. This message will notify the state to create its synchronization file extract during this period. Two weeks before the audit, the III staff will forward a reminder Nlets AM message and/or e-mail to the states.

The FBI's CJIS Division will transmit the III synchronization medium by overnight express, along with the III synchronization record layout worksheet and other applicable forms. More information concerning the synchronization record layout worksheet is provided in [Appendix S](#) of this manual. If a state opts for FTP, the CJIS Division will provide its records via an electronic transmission and will mail the worksheet and forms separately using overnight express. If a state is not an active FTP user, authorized personnel must first contact the state's NCIC/NGI Regional Coordinator. State personnel must return the certification of audit processing form within 90 days to ensure that the state processed the synchronization audit and corrected all record discrepancies.

4.4.4 III AUDIT SYNCHRONIZATION CONTENT

The III synchronization medium furnishes data on active III records containing the state's SID Number and any records that have become inactive (e.g., deceased, expunged, consolidated, and deleted records) since the previous audit. The synchronization medium also lists records established in the III on or after April 20, 1983, without the active state SID Number (an FBI pseudo-pointer comprised of the state abbreviation, two asterisks, and the subject's date of birth;

i.e., TX**021556) to indicate that the FBI's CJIS Division is responsible for providing the IdHS information.

4.4.5 III AUDIT SYNCHRONIZATION PROCESSING AND RESOLUTION

By comparing the two file extracts, III states can identify discrepancies and take action to synchronize state and III records. Two III administrative inquiry messages are available for the states to resolve audit discrepancies: the ZI inquiry and the ZRS inquiry messages (status verification inquiry). More information concerning these messages is furnished in [Chapter 3](#) of this manual. States may also use the MRS (Modify Record SID), EHN (Enter Supplemental Identifiers), and DRS (Delete Record SID) file maintenance messages for resolving discrepancies. Additional information about the MRS file message is available in [Chapter 5, Section 5.1](#); information about the EHN file message is in [Chapter 5, Section 5.2](#); and information about the DRS file message may be found in [Chapter 5, Section 5.4](#), of this manual. More detailed information regarding the III synchronization can be found in [Appendix S](#) of this manual.

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CHAPTER 5—MAINTAINING RECORDS
SECTION 5.1—MODIFYING THE STATE ACTIVE III POINTER (MRS MODIFICATION MESSAGE)
5.1.1 INTRODUCTION

III states must use the MRS (Modify Record SID) modification message key to add or correct a State Identification (SID) Number or to modify a SID Number to an FBI pseudo-pointer. When the III receives an MRS modification message to add or correct a SID Number, the III automatically inserts the new or corrected SID value in the III pointer area and the appropriate arrest event(s) on file for that state. An MRS modification message transmitted to modify the state's SID Number to an FBI pseudo-pointer results only in the modification of the III pointer value. The III will not modify the SID Number(s) that is stored in the arrest event(s) for the state.

5.1.2 MRS MODIFICATION MESSAGE TO ADD A SID NUMBER

Authorized III users must transmit an MRS modification message to add a SID Number: (1) when the state desires to assume responsibility for a record initially established with an FBI pseudo-pointer; or (2) when the III rejects a SID Number.

The following example message and list of fields show the items that must be present in an MRS modification message to add a SID Number. The new SID Number is the only field in the message requiring a Message Field Code (MFC). MFCs shown as two hyphens (--) indicate mandatory positional fields not requiring field abbreviations in the message. If an agency uses an MFC, except for a SID Number, the III will transmit a reject message.

Message:

```
2L01HEADERXXXX01234.MRS.MD1012600.19590110.9015174.SID/MD81331911
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
MRS.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
19590110.	Date of birth*	--
9015174.	FBI UCN	--

SID/MD81331911

SID to be indexed

SID/

*The information in this field must include any date of birth (DOB) in the III associated with the person or the DOB in either the \$.A.RNP (SID Rejected-No Prior III Record) or \$.A.RPR (SID Rejected-Prior III Record) reject message.

Message Format:

2L01HEADERXXXX01234(19 characters). MRS(3 characters). MD1012600 (9 characters). 19590110(8 characters). 9015174(1-9 characters). SID/MD81331911(3-10 characters)

The accept message for an MRS modification message will always contain the response header characters KL01 as shown below.

Example:

```
KL01HEADERXXXX01234
MD1012600
ACCEPT SID/MD81331911 FOR FBI/9015174
III RECORD IS SINGLE-STATE (or MULTI-STATE)
```

Following the MRS modification accept message, the III will transmit a separate single-source (\$.A.SSO) or multi-source (\$.A.MSO) unsolicited message. More information on this topic is provided in [Chapter 4, Section 4.3](#) of this manual.

Example:

```
$.A.SSO (or MSO).SID/MD81331911.FBI/9015174.SINGLE-STATE OFFENDER (or MULTI-STATE OFFENDER)
```

The state system should automatically set a record status flag to either single-source or multi-source as indicated by these messages.

NOTE: Because the \$.A. unsolicited message is separate from the MRS message, the unsolicited message may not immediately follow the accept message.

5.1.3 MRS MODIFICATION MESSAGE TO MODIFY AN INCORRECT SID NUMBER

III users must employ an MRS modification message to modify a SID Number that has been entered incorrectly into the III. The following example shows the required format for this type of message.

NOTE: The agency must enter the incorrect SID Number as the identifier preceding the FBI Universal Control Number (UCN). In addition, the agency must not use an MFC when entering the incorrect SID Number, or the III will reject the message and will not process the correction.

Example:

```
2L01HEADERXXXX01234.MRS.SCLEDD0000.SCOLDSSID.9002200.SID/SCNEWSID
```

The III will transmit a \$.A.SSO or \$.A.MSO unsolicited message following the accept message.

5.1.4 MRS MODIFICATION MESSAGE TO MODIFY A STATE'S SID NUMBER TO AN FBI PSEUDO-POINTER

Occasionally, a III state may find a record that is indexed for the state that the state cannot support. Because the record is valid and the FBI can support the record, the state should not expunge its SID Number in these cases. The state can use an MRS modification message to change the state SID Number to an FBI pseudo-pointer. An FBI pseudo-pointer consists of the two-character state code followed by two asterisks (**) and the subject's six-character DOB. Also, the state may request that CJIS Division staff change the state SID Number to an FBI pseudo-pointer by contacting the III staff at <fbi-iii@leo.gov>.

[Section 5.1.2](#) of this chapter shows the format of the MRS modification message a state must use to change a state's SID Number to an FBI pseudo-pointer. However, a state must use its SID Number in place of the DOB as the record identifier preceding the FBI UCN or the III will reject the message and not process the request. For entry of the FBI pseudo-pointer following SID/, the state has two options: (1) The state may enter the FBI pseudo-pointer (using any DOB in the record); or (2) The state may use the acronym AIS (which stands for Automated Identification System). If the state uses the acronym AIS, the III will create the FBI pseudo-pointer using the master DOB.

Example:

```
2L01HEADERXXXX01234.MRS.OKOBI0000.OK00334455.9015174.SID/AIS
```

The III will not transmit a \$.A.SSO or a \$.A.MSO unsolicited message after the accept message.

SECTION 5.2—ENTERING SUPPLEMENTAL IDENTIFIERS (EHN UPDATE MESSAGE)

5.2.1 INTRODUCTION

Although most supplemental identifiers are entered in the III as the result of fingerprint submissions, a state may have documentation not provided to the FBI that contains a new supplemental identifier(s) (e.g., aliases or additional dates of birth). This scenario may occur occasionally.

III users must employ an EHN (Enter Supplemental Identifiers) update message when entering a supplemental identifier(s) or the III will reject the supplemental identifiers. Authorized users may enter a maximum of nine supplemental identifiers in one EHN update message.

5.2.2 EXAMPLE EHN UPDATE MESSAGE AND ACCEPT MESSAGE

The following text furnishes an example of an EHN update message, a list of the fields that may be contained in the message, and the MFC that must be used. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used, the III will transmit a reject message.

Example:

```
2L01HEADERXXXX01234.EHN.MD1012600.MD81331911.9015174.AKA/DOE,JP.DOB/19561126.  
MNU/PP-88123.SMT/SC R ARM.SOC/223456789
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
EHN.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
MD81331911.	SID Number	--
9015174.	FBI UCN	--
AKA/DOE,JP.	Alias	AKA/
DOB/19561126.	Date of Birth	DOB/
MNU/PP-88123.	Miscellaneous Number	MNU/

SMT/SC R ARM.	Scars, Marks, Tattoos	SMT/
SOC/223456789	Social Security Number	SOC/

If a III user must enter more than one supplemental identifier for a particular field, he or she should use a period (.) to separate the entries. If the field abbreviation is repeated, the III will reject the message. The reject message will state DUPLICATE XXX where XXX represents the MFC. Specific types of reject messages for this MKE are furnished in [Appendix C](#) of this manual. If multiple EHN messages are included in a single entry, and the message rejects one of the entries, all the entries in the particular message will be rejected.

There are no longer a maximum number of aliases and supplemental identifiers. When an EHN update message contains a supplemental identifier(s) that is already on file, the III will write over the existing identifier(s) (without changing or adding a duplicate identifier[s]) and accept the message.

Message Format:

2L01HEADERXXXX01234(9-19 characters). EHN(3 characters). MD1012600(9 characters). MD81331911(3-10 characters). 9015174(1-9 characters). AKA/DOE, JP(3-30 characters). DOB/19561126(8 characters). MNU/PP-88123(4-15 characters). SMT/SC R ARM(3-10 characters). SOC/223456789(9 characters)

The accept message for an EHN update message will always contain the response header characters KL01 as shown below.

```
KL01HEADERXXXX01234
MD1012600
ACCEPT EHN FOR SID/MD81331911
```

5.2.3 EXAMPLE EHN UPDATE ACCEPT MESSAGE WHEN THE SOC OR MNU IS ON FILE IN ANOTHER RECORD

When an EHN update message contains a Social Security Number (SOC/) or miscellaneous number (MNU/) that is on file in another III record, the accept message will include unsolicited data concerning the other record(s) containing the SOC or MNU. Upon receipt of the unsolicited data, the state agency should: (1) ensure that the SOC or MNU in the EHN update message was entered correctly; and (2) query the III using the SOC or MNU to obtain the records containing the common SOC or MNU to determine if a record consolidation is needed. If it appears that a consolidation is needed, the state agency should contact the FBI's CJIS Division at 304-625-5590.

Example:

2L01HEADERXXXX01234.EHN.MD1012600.MD81331911.9015174.SOC/787654321

Example:

KL01HEADERXXXX01234
MD1012600
ACCEPT EHN FOR SID/MD81331911

\$.T. RE: SOC/787654321 FBI/9015174 SID/MD81331911

THE ABOVE SOC HAS BEEN ADDED TO THE RECORD PER YOUR TRANSACTION; HOWEVER, IT IS IDENTICAL TO THE SOC IN A RECORD(S) ALREADY IN THE INTERSTATE IDENTIFICATION INDEX (III). PLEASE CHECK FOR A DATA ENTRY ERROR IN YOUR TRANSACTION AND ALSO CONFIRM THAT THE CORRECT FBI UCN/SID WAS USED. THE FBI IDENTIFICATION DIVISION WILL REVIEW THE RECORDS CONTAINING THIS SOC TO DETERMINE IF MORE THAN ONE RECORD EXISTS FOR THE SAME PERSON.

END

If applicable, the III will automatically replace the SOC with the MNU. If the EHN update message contains more than one SOC and/or MNU that meet the above condition, the III will transmit a \$.T. message (a warning message) for each SOC and/or MNU. The word END will appear at the conclusion of the last \$.T. message.

5.2.4 EXAMPLE EHN ACCEPT MESSAGE WHEN THE SOC IN THE MESSAGE HAS NOT BEEN ASSIGNED BY THE SOCIAL SECURITY ADMINISTRATION

When a SOC in an EHN update message contains a 9 in the first position and/or 00 in the fourth and fifth positions, a warning caveat will be appended to the accept message. The following example shows an EHN update message and an example accept message showing the placement and wording of the warning caveat that the III will transmit in this situation.

Example:

2L01HEADERXXXX01234.EHN.MD1012600.MD81331911.9015174.SOC/894112311

Example:

KL01HEADERXXXX01234
MD1012600
ACCEPT EHN FOR SID/MD81331911

ATTENTION -- THE SOC ENTERED IN YOUR TRANSACTION HAS NOT BEEN ASSIGNED BY THE SOCIAL SECURITY ADMINISTRATION. PLEASE CHECK FOR A DATA ENTRY ERROR IN YOUR TRANSACTION.

If the SOC in the EHN update message is also on file in a different record, the III will transmit a \$.T. message following the warning caveat.

SECTION 5.3—CANCELING SUPPLEMENTAL IDENTIFIERS (XHN CANCELLATION MESSAGE)

5.3.1 INTRODUCTION

III users must use an XHN (Cancel Supplemental Identifiers) cancellation message to cancel a specific supplemental identifier(s) (i.e., AKA, DOB, MNU, SMT, and/or SOC) from a III record.

When canceling a supplemental identifier(s), the III user must ensure that the information in the XHN cancellation message is entered into the III exactly as it appears in the record on file. A maximum of nine supplemental identifiers may be contained in one message. To correct an incorrect supplemental identifier, the III user must cancel the incorrect data using the XHN cancellation message and enter the correct data using an EHN update message.

5.3.2 EXAMPLE XHN CANCELLATION MESSAGE AND ACCEPT MESSAGE

The following text furnishes an example of an XHN cancellation message, a list of the fields that may be contained in the message, and the MFC that must be used for identifying the field and the data in the record. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used, the III will transmit a reject message field.

Message:

```
2L01HEADERXXXX01234.XHN.MD1012600.MD81331911.9000006.AKA/MULDER,FOX
SPOOKY.DOB/19461126.MNU/PP-88123.SMT/SC R ARM.SOC/223456789
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
XHN.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
MD81331911.	SID Number	--
9000006.	FBI UCN	--
AKA/MULDER,FOX SPOOKY.	Alias Name	AKA/
DOB/19461126.	Date of Birth	DOB/

MNU/PP-88123.	Miscellaneous Number	MNU/
SMT/SC R ARM.	Scars, Marks, Tattoos	SMT/
SOC/223456789	Social Security Number	SOC/

Message Format:

2L01HEADERXXXX01234(9-19 characters). XHN(3 characters). MD1012600(9 characters). MD81331911(3-10 characters). 9000006(1-9 characters). AKA/DOE, JP(3-30 characters). DOB/19461126(8 characters). MNU/PP-88123(4-15 characters). SMT/SC R ARM(3-10 characters). SOC/223456789(9 characters)

The accept message for an XHN cancellation message will always contain the response header characters KL01 as shown below.

```
KL01HEADERXXXX01234
MD1012600
ACCEPT XHN FOR SID/MD81331911
```

To delete multiple supplemental identifiers of the same value, III users must not repeat the MFC, or the III will add duplicate supplemental identifiers in the record. Instead, users must separate the identifiers with period(s).

SECTION 5.4—DELETING STATE RECORDS INDEXED IN THE III (DRS DELETION MESSAGE)

5.4.1 DRS DELETION MESSAGE—INTRODUCTION

NOTE: A State Identification Bureau (SIB) must use the DRS (Delete Record SID) deletion message to initiate expungement of a state's entire III record. A SIB must not use the DRS deletion message for partial expungement, i.e., the record contains an arrest cycle(s) that is not to be expunged. A SIB must submit paper documentation to the CJIS Division for partial expungements.

To assess whether transmittal of a DRS message is appropriate, a state must review a subject's arrest(s) cycles that are in the III for that state to determine if expungement of the entire record is desired. To accomplish this, a state(s) must perform a QR (Query Record) record request using Purpose Code A (administrative) to obtain this information before transmitting a DRS message.

To request expungement of a single arrest cycle(s) in a multi-cycle record, states must not transmit a DRS message but must submit written documentation to the FBI's CJIS Division to confirm the partial expungement. Agencies must use Form FD-1114, *FBI Expungement Form*, for partial expungements, but agencies may use the form for a full expungement as well. An example of the form is available in [Appendix H](#) of this manual.

Whenever a state record ceases to exist due to a court-ordered expungement or a purge, the state must remove its SID Number from the III and submit a MKE to expunge all arrest cycles from the III record and any other associated data. Staff at a SIB must use the DRS MKE in these instances. The DRS deletion message flags the state's SID Number as expunged and stops dissemination of the state's data based on either a III query, fingerprint submission, and/or document processing. The III state should expunge its state record upon receipt of the unsolicited message \$.A.EXP (FBI Number Expunged) or \$.A.EXS (SID Number Expunged) from the III.

If the FBI's CJIS Division expunges a state's record based on the receipt and processing of expungement documentation from the state (i.e., the state did not transmit a DRS deletion message), the FBI's CJIS Division will remove the SID Number, and the III will advise the state of this action automatically by the transmission of either a \$.A.EXP (FBI Number Expunged) or \$.A.EXS (SID Number Expunged) unsolicited message. [Section 5.4.5](#) of this chapter provides the format for the \$.A.EXP and \$.A.EXS unsolicited messages.

5.4.2 EXAMPLE DRS DELETION MESSAGE AND ACCEPT MESSAGE

Agencies should use the message format shown below to remove a SID Number from the III. The information following the example explains the data contained in the message. The SIB should use this message when the state record ceases to exist for any reason (other than the death of a person). Information on deleting records of deceased individuals is contained in [Section 5.5](#) of the manual. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used, the III will transmit a reject message. Only the XPL (Explanation) MFC needs to be used in these messages. The XPL is a free-text, literal field with a 75 character maximum to explain the reason for removal of the SID. Examples of correct

information to be placed in the XPL Field include “court ordered expungement,” “juvenile record information.” Because information in the XPL Field becomes part of an individual’s official record, agencies should never include the data entry person’s name or his or her job title in the field due to privacy concerns.

Message:

```
2L01HEADERXXXX01234.DRS.MD1012600.MD81331911.9015174.XPL/COURT ORDERED
EXPUNGEMENT
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
DRS.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
MD81331911.	SID Number to be Removed	--
9015174.	FBI UCN	--
XPL/COURT ORDERED EXPUNGEMENT	Literal Field (75 character maximum) to explain reason for removal of SID	XPL/

Message Format:

```
2L01HEADERXXXX01234(9-19 characters). DRS(3 characters). MD1012600(9 characters).
MD81331911(3-10 characters). 9015174 (1-9 characters). XPL/COURT ORDERED
EXPUNGEMENT(75 characters)
```

The accept message transmitted by the III for a successful DRS deletion message will always contain the response header characters KL01 as follows:

```
KL01HEADERXXXX01234
MD1012600
ACCEPT DRS FOR SID/MD81331911 SID EXPUNGED
```

5.4.3 DRS DELETION MESSAGE PROCESSING

The III processes DRS deletion messages as follows:

1. If the record is single-source, the DRS message will cause:
 - A. The SID Number to be flagged as expunged.
 - B. The transmission of a \$.A.EXP (FBI UCN Expunged) message to the state will follow the accept message as a result of the DRS.

III inquiries by FBI UCN will result in a 2L01 type response (RECORD NO LONGER ON FILE – EXPUNGED) and will include the date of the DRS deletion message as the date expunged. Responses to fingerprint submissions and/or document processing will suppress the state's data. Inquiries using the expunged SID Number will result in a no record response because inactive SID Numbers are available only for audit (synchronization) purposes.

2. If the record is multi-source, the DRS deletion message will cause:
 - A. The SID Number to be flagged as expunged.
 - B. The transmission of an unsolicited \$.A.EXS (SID Expunged) message to the state.

The state's data will be suppressed from responses to III inquiries by FBI UCN and fingerprint submission and/or document processing. Inquiries using the expunged SID Number will result in a no record type response.

If the DRS deletion message changes the record's status from multi-source to single-source, the III will send a \$.A.SSO (single-source offender) message to the remaining state-of-record.

5.4.4 CORRECTING DRS DELETION MESSAGE SENT IN ERROR

When a state erroneously transmits a DRS deletion message to expunge its SID Number in the III, the state should use an MRS modification message to reactivate its SID Number (e.g., remove the expungement flag from the SID. The MRS modification message must contain the individual's date of birth as the record identifier preceding the FBI UCN ([Section 5.1](#) of this chapter furnishes the format for the MRS modification message.) After the III receives the MRS modification message, the III conducts an automated review of the record to ensure that at least one criminal arrest fingerprint submission is on file for the state before removing the expungement flag from the SID Number and transmitting the accept message with the appropriate \$.A.SSO or \$.A.MSO message. If the review reveals that there are no data in the record for the state, the MRS modification message will be rejected as NOT AUTHORIZED.

This must be done by the III state or the National Fingerprint File (NFF) state **within 1 hour** after it is noted that a DRS deletion message was submitted in error. If the SIB does not make the correction using an MRS modification message within 1 hour, the SIB must resubmit fingerprints to reestablish the record. The following example depicts a MRS message.

Example:

```
2L01HEADERXXXX01234.MRS.MD1012600.19590110.9015174.SID/MD81331911
```

5.4.5 \$.A.EXP AND \$.A.EXS UNSOLICITED MESSAGES—WHEN A RECORD IS REMOVED BECAUSE OF AN EXPUNGEMENT OR A PURGE

The III will transmit an unsolicited message to the state when either: (1) a state transmits a DRS deletion; or (2) the FBI's CJIS Division staff deletes a record temporarily or permanently for file maintenance or specific literal purposes. Under these circumstances, the III uses two types of unsolicited messages relating to record removal: the \$.A.EXP (FBI Number Expunged) and the \$.A.EXS (SID Number Expunged) messages. These messages are described in the following subsections.

5.4.5.1 \$.A.EXP UNSOLICITED MESSAGE

The III will transmit a \$.A.EXP unsolicited message to the state when the expungement or purge results in the removal of the entire state record from the III. The III may append a \$.A.EXP unsolicited message with either FBI NUMBER EXPUNGED or a phrase explaining the record's deletion. The caveat FBI NUMBER EXPUNGED is appended when the state's last or only arrest is removed from a single-source record. An explanatory phrase is appended when the III uses a single message to delete an entire record (e.g., identification and arrest data).

The following text provides the format of the \$.A.EXP unsolicited message followed by an example. (An explanation of the data elements included in this message is furnished in [Appendix A](#) of this manual.)

Message Format:

\$.A.EXP.SID/(3-10 characters).FBI/(1-9 characters).FBI NUMBER EXPUNGED

The above message format is used when the state's last or only arrest is removed from a single-source record.

Example:

\$.A.EXP.SID/KY12345678.FBI/9000006.FBI NUMBER EXPUNGED

The above message format is also used when the III uses a single transaction to delete an entire record (i.e., identification and arrest data). As applicable, the III will replace the notation FBI NUMBER EXPUNGED with XPL/ and an explanatory phrase as illustrated by the example below. The XPL Field can contain a maximum of 75 characters.

Example:

\$.A.EXP.SID/KY87654321.FBI/9090900.XPL/110 PLUS PURGE

5.4.5.2 \$.A.EXS UNSOLICITED MESSAGE

The III will transmit a \$.A.EXS (SID Expunged) unsolicited message when a state's last or only arrest is expunged from a multi-source record. In this instance, the FBI UCN remains in the III.

The following text provides the format of a \$.A.EXS unsolicited message followed by an example.

Message Format:

\$.A.EXS.SID/(3-10 characters). FBI/(1-9 characters). SID NUMBER EXPUNGED

Example:

\$.A.EXS.SID/KY12345678.FBI/9000006.SID NUMBER EXPUNGED

5.4.6 EXPLANATORY PHRASES (XPLs) APPENDED TO \$.A.EXP MESSAGES

5.4.6.1 INTRODUCTION

The III will include an explanatory phrase (XPL) with a \$.A.EXP unsolicited message only when the III uses a single transaction to delete an entire record. Because the III uses a number of XPLs internally, this subsection includes only those phrases that states are likely to encounter.

There are two types of XPLs: file maintenance and specific literal. File maintenance XPLs indicate a record has been removed temporarily from the III. In these instances, the FBI UCN remains valid and the III reenters the record after the maintenance is completed. Specific literal XPLs explain the reason that the FBI UCN was permanently deleted from the III.

5.4.6.2 FILE MAINTENANCE XPLs

File maintenance XPLs notify state agencies that the FBI's CJIS Division is making internal corrections. In these instances, CJIS Division staff temporarily remove a record(s) from the III and reenter it when maintenance is completed.

The following examples provide two common file maintenance XPLs that may be transmitted to state agencies and a definition of each phrase.

XPL/DELETE TYPE 1

An XPL/DELETE TYPE 1 explanatory phrase indicates that a record was temporarily deleted because a nonident criminal fingerprint submission was entered as a nonident custody fingerprint submission or an identified criminal fingerprint submission was entered as an identified custody fingerprint submission.

XPL/DELETE TYPE 13

An XPL/DELETE TYPE 13 explanatory phrase indicates that a record was temporarily deleted in order to correct an internal audit code or XPL.

5.4.6.3 SPECIFIC LITERAL XPLs

A specific literal XPL usually indicates that the III returned a fingerprint submission to the submitting agency and, consequently, the state permanently deleted the FBI UCN from the III. If an agency submits a new criminal fingerprint submission for the individual after this happens, the III will assign the individual a different FBI UCN. The following examples show some common specific literal XPLs and a definition of each phrase.

A. XPL/DELETED-JUVENILE

An XPL/DELETED JUVENILE phrase indicates that a fingerprint submission involving a juvenile, which should have been returned to the contributor, was entered in the III instead.

B. XPL/DELETED-MINOR ARREST

An XPL/DELETED-MINOR ARREST phrase indicates that a fingerprint submission with a minor arrest charge, which should have been returned to the contributor, was entered in the III instead.

C. XPL/DELETED-UTL AFTER LENGTHY SEARCH

An XPL/DELETED-UTL AFTER LENGTHY SEARCH phrase indicates that staff in the CJIS Division removed an arrest entry in the III because the original fingerprint submission could not be located (unable to locate-UTL) or a substitute fingerprint submission could not be obtained from the contributor.

D. XPL/PRINT RETD CNTRB-ILLEG PRINT

An XPL/PRINT RETD CNTRB-ILLEG PRINT phrase indicates that an illegible (ILLEG) fingerprint submission (usually a nonident) was entered in the III but should have been returned (RETD) to the contributor (CNTRB).

E. XPL/PRINT RETD CNTRB-MISSING DOB

An XPL/PRINT RETD CNTRB-MISSING DOB phrase indicates that staff in the CJIS Division entered a nonident fingerprint submission containing a DOB of 00/00/00 in the III but the submission should have been returned (RETD) to the contributor (CNTRB).

F. XPL/PRINT RETD CNTRB PER REQUEST

An XPL/PRINT RETD CNTRB PER REQUEST phrase indicates that a contributor (CNTRB) requested the return (RETD) of a fingerprint submission because it was either sent to the FBI's CJIS Division by mistake or the fingerprints and descriptive data belong to different individuals.

G. XPL/RETURN PRT PROC AS RETAIN PRT

An XPL/RETURN PRT PROC AS RETAIN PRT phrase indicates that a return applicant or criminal fingerprint submission (PRT) was processed (PROC) as a retain print (PRT), and the contributing agency must delete the submission.

H. XPL/110 - PLUS PURGE

An XPL/110 - PLUS PURGE phrase indicates that a record has been purged from the III because the age of the subject is 110 years or older.

SECTION 5.5—REMOVING STATE RECORDS INDEXED IN THE III FOR DECEASED INDIVIDUALS (DEC MESSAGE AND \$.A.DEC UNSOLICITED MESSAGE)

5.5.1 INTRODUCTION

The DEC (Decease Records Indexed in the III) message key was instituted to assist the states in flagging records in the III pertaining to deceased individuals. There are two types of DEC (deceased) messages for states to use to decessate a record: (1) If the identity of the deceased individual is not substantiated by fingerprints taken from the deceased's body, the state should append the basic DEC deceased message with an XPL Field. The FBI's CJIS Division retains the reported criminal history record information (CHRI) for the deceased subject in the III in an inactive status until the identity of the deceased individual is substantiated by fingerprints or until the record is purged when the subject reaches 110 years of age; and (2) If a state's policy dictates that it will decessate its III records only when the identity of the individual is substantiated by fingerprints taken from the body, the basic DEC deceased message should be appended with an FII (Fingerprint Identification Indicator) Field.

Previously, the FBI's CJIS Division decessated a record from the III only when the identity of a deceased individual was substantiated by unknown deceased fingerprints taken from a body. Under its current policy, the FBI's CJIS Division will accept and process known deceased fingerprints for FBI-maintained records. For state-maintained records, III/NFF states must continue to use the III online DEC (file maintenance) message appended with an FII Message Field Code (MFC) to decessate the III record when the identity of the deceased individual is substantiated by fingerprints taken from the body.

When the FBI's CJIS Division receives a DEC message or correspondence concerning a deceased subject whose identity is not substantiated by fingerprints taken from the deceased's body, the III will enter the Originating Agency Identifier (ORI) of the agency reporting the death and the date of death in the appropriate fields of the internal record. Future inquiries by FBI UCN for this subject will result in a notice indicating the subject has been reported as deceased; the III will not send a \$.A.CHR unsolicited message to a state whose SID Number has been flagged as deceased. If the state submitting the correspondence has a SID Number indexed for the record and did not transmit a DEC message, the SID Number will remain active, i.e., the FBI's CJIS Division will not flag the state's SID Number as deceased. Future requests for the record using either the FBI UCN or the state's SID Number will result in the transmittal of a record request message \$.A.CHR to the state.

The following subsections provide information concerning the two types of DEC messages and the \$.A.DEC unsolicited message.

5.5.2 DEC MESSAGE APPENDED WITH AN XPL FIELD

The format of a DEC message is shown in the following example along with an explanation of the data contained in the message. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used, the III will transmit a reject message. Only the XPL MFC needs to be used in these messages.

Example:

2L01HEADERXXXX01234.DEC.MD1012600.MD81331911.9000006.XPL/MDBPD0000 - 19990117

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
DEC.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
MD81331911.	SID number to be removed	--
9000006.	FBI UCN	--
XPL/MDBPD0000 - 19990117	Explanation Field (maximum 75 characters)	XPL/

Message Format:

2L01HEADERXXXX01234(9-19 characters). DEC(3 characters). MD1012600(9 characters). MD81331911(3-10 characters). 9000006 (1-9 characters). XPL/MDBPD0000 - 19990117(1-75 characters)

The III will transmit an accept message for each successful DEC message and will include as its response header the characters KL01 as shown below:

```
KL01HEADERXXXX01234
MD1012600
ACCEPT DEC FOR SID/MD81331911 SID RETIRED
```

When the III receives a DEC message appended with an XPL Field, the III flags the SID Number as deceased, and inserts the ORI and date of death from the XPL Field in the appropriate fields of the internal FBI's CJIS Division record. If the XPL Field does not contain an ORI or date of death, the III will use the state bureau's ORI and the date of the DEC message for the internal record. The III will not make a notification of the subject's death to any of the states having a SID Number indexed in the record.

When the record's status changes from a multi-source to a single-source record, the remaining state-of-record will receive a \$.A.SSO (Single-Source Offender) unsolicited message. If the record is single-source, future online inquiries by FBI Number will result in a 2L01 response header - RECORD NO LONGER ON FILE - DECEASED PER (the translation of the ORI used

in the XPL Field and the date of death or the state bureau ORI translation and the date of the message). If the record is multi-source, future inquiries by FBI UCN will provide the active state III pointer(s) and/or the FBI pseudo-pointer as the record holder(s), as well as the deceased SID Number, e.g., MARYLAND - STATE ID/MD81331911 - DECEASED.

The III will not send a \$.A.CHR unsolicited message to a state whose SID Number has been flagged as deceased. Future inquiries using the deceased SID Number will result in a no record response because inactive SID Numbers are available only for audit (synchronization) purposes.

Although the III will flag the state's SID Number as deceased, the III will retain the state's CHRI and will be available to requests for the information and in responses generated by fingerprint submissions and document processing. If the record is not substantiated by fingerprints, the FBI's CJIS Division will purge the record when the subject reaches 110 years of age.

If a state transmits a DEC message in error, the state must use an MRS modification message to remove the deceased flag and reactivate the SID Number. The MRS modification message must contain the subject's date of birth as the record identifier preceding the FBI UCN. Upon receipt of the MRS modification message, the III will review its record to ensure that at least one criminal fingerprint submission is on file for that state before removing the deceased flag and transmitting an accept message and the appropriate \$.A.SSO or \$.A.MSO unsolicited message. If the review reveals no data for the state, the MRS modification message will be rejected with the message NOT AUTHORIZED.

5.5.3 DEC MESSAGE APPENDED WITH AN FII FIELD

If a state's policy dictates that it will only decrease its record when the identity of the deceased individual is substantiated by fingerprints taken from the deceased's body, the state can transmit a DEC message appended with an FII Field instead of with an XPL Field. While a DEC message with an XPL Field flags the state's SID Number as deceased, a DEC message appended with an FII Field actually decreases the entire III record. When a state uses a DEC message with an FII Field, the state is no longer required to send the corresponding fingerprints to the FBI's CJIS Division. In these instances, the message format described in [Subsection 5.2](#) of this chapter should be used except XPL/ will be replaced by FII/. The FII Field is a fixed-length, 20-character field including the reporting agency's ORI as the first nine characters, followed by a space, a hyphen (-), a space, followed by the eight-character date of death in CCYYMMDD format. The following example shows a DEC message containing the FII Field followed by an example accept message containing the KL01 response header characters.

```
2L01HEADERXXXX01234.DEC.MD1012600.MD81331911.9000006.FII/MDBPD0000 - 19990117
```

```
KL01HEADERXXXX01234
MD1012600
ACCEPT DEC FOR SID/MD81331911 SID RETIRED
```

If the state does not retain the reporting agency's ORI in the state file, it may use its state bureau's ORI instead. The FBI's CJIS Division will validate the ORI and the date in the FII Field because that information will be stored as part of the CJIS Division's deceased record, and the translation of the ORI and the date will be included in any future inquiries made by the FBI UCN.

In addition to the accept message, the III will transmit a \$.A.DEC unsolicited message to any other state having a SID Number indexed in the record. The III will use the data included in the FII Field to fill the XPL Field of the \$.A.DEC unsolicited message.

There is no grace period provided in which an agency can use an MRS modification message to correct a DEC message with an FII that was sent in error. Because there is no automatic means of recovery, and other interested states have already been notified of the subject's death via the \$.A.DEC unsolicited message, states should review these messages very carefully prior to transmission.

The following text provides the format of a \$.A.DEC unsolicited message along with an example.

Message Format:

\$.A.DEC.SID/(3-10 characters). FBI/(1-9 characters). XPL/(1-75 characters). DECEASED - SID NUMBER RETIRED

Example:

\$.A.DEC.SID/MD81331911.FBI/9000006.XPL/MDBPD0000 - 19990117.
DECEASED - SID NUMBER RETIRED

SECTION 5.6—CONSOLIDATING STATE RECORDS INDEXED IN THE III (\$.A.CON AND \$.A.NMS UNSOLICITED MESSAGES)

5.6.1 INTRODUCTION

When the III detects two or more FBI UCNs assigned to the same individual, staff at the CJIS Division review the information for accuracy and change the information in the III. The III will consolidate the records will send a \$.A.CON unsolicited message to the state(s) of record.

When a state assigns a second SID Number to the same individual on a subsequent arrest, the III will transmit a \$.A.NMS (Nonmatching SID Ignored) unsolicited message to the state. In addition, if a III state submits a subsequent fingerprint submission without a SID Number that is identified with a record containing the state's SID Number, the III will transmit a \$.A.NMS unsolicited message to the state indicating that a nonmatching SID Number condition exists.

5.6.2 \$.A.CON UNSOLICITED MESSAGE—FBI UCN CONSOLIDATION

When the FBI's CJIS Division consolidates two or more records, the III transmits a \$.A.CON unsolicited message to the state(s) of record. Upon receipt of the \$.A.CON unsolicited message, the state(s) should take appropriate action to consolidate the records in the state file(s). The III transmits a \$.A.CON (FBI Number Consolidation) unsolicited message only when the III record(s) contains the state of record's SID Number.

5.6.2.1 \$.A.CON UNSOLICITED MESSAGE FORMAT

The following is the basic format of the \$.A.CON unsolicited message along with an example and an explanation of the data contained in the message.

Message Format:

\$.A.CON.SID/(3-10 characters). FBI/(1-9 characters). NCIC III RECORD CONSOLIDATION CANCEL.SID/(3-10 characters). FBI/(1-9 characters)

Example:

```
$.A.CON.SID/TX00000113.FBI/9000005.NCIC III RECORD CONSOLIDATION
CANCEL.SID/TX00000123.FBI/9000006
```

The first SID Number and FBI UCN are associated with the III record being retained. The second SID Number and FBI UCN are associated with the III record being canceled.

In instances when a caveat is appended to a \$.A.CON unsolicited message, the III will insert a period after the second FBI UCN position and before the beginning of the caveat. Brief explanations of these types of caveats follow.

A. SID NUMBER EXPUNGED—REENTER TO ASSUME CONTROL

The III adds the caveat, **SID NUMBER EXPUNGED—REENTER TO ASSUME CONTROL**, when it is necessary to delete the state's SID Number from the retained III record and substitute an FBI pseudo-pointer for the state's data.

B. MODIFY FBI UCN IN A STATE'S FILE

The III adds the caveat, **MODIFY FBI NUMBER IN YOUR FILE**, when the canceled record contains the state's SID Number and the retained record contains no data for the state.

The following subsections describe the conditions necessary for the transmission of \$.A.CON unsolicited messages with and without a caveat.

5.6.2.2 \$.A.CON UNSOLICITED MESSAGE—BOTH RECORDS CONTAIN THE STATE'S SID NUMBER

In the following example, both the canceled and retained records contain a SID Number for the state.

Example:

Canceled Record: FBI/9000012 SID/TX00000123

Retained Record: FBI/9000001 SID/TX00000456

The following information provides detailed explanations of the \$.A.CON unsolicited message that the III transmits in this example:

- A. The III record (including the SID Number) for a canceled FBI UCN (in this case, FBI/9000012) will be purged from the III.
- B. The SID Number in the III for a retained record (in this case, FBI/9000001) will also be purged from the III and replaced by an FBI pseudo-pointer for the state's data. This action is necessary because the FBI's CJIS Division has the most complete record until the state consolidates the records in its file and can provide a complete record.
- C. A \$.A.CON unsolicited message transmitted by the III to the state will contain a caveat advising that both SID Numbers have been removed from the III and that the state must reenter its SID Number to regain control of its data. The state can accomplish this by using an MRS modification message. More information on this topic is provided in [Section 5.1](#) of this chapter.

Example:

\$.A.CON.SID/TX00000456.FBI/9000001.NCIC III RECORD CONSOLIDATION
CANCEL.SID/TX00000123.FBI/9000012.SID NUMBER EXPUNGED - REENTER TO
ASSUME CONTROL

5.6.2.3 \$.A.CON UNSOLICITED MESSAGE—CANCELED RECORD CONTAINS AN FBI PSEUDO-POINTER FOR THE STATE'S DATA/RETAINED RECORD CONTAINS THE STATE'S SID NUMBER

In the following example, the canceled record is indexed in the III with an FBI pseudo-pointer for the state's data, and the retained record is indexed with the state's SID Number.

Example:

Canceled Record: FBI/9000012 SID/TX**010159

Retained Record: FBI/9000001 SID/TX00000456

The following information provides detailed explanations of the \$.A.CON unsolicited message that the III transmits in this example:

- A. The CJIS Division staff will purge the canceled FBI UCN (in this case, FBI/9000012) from the III, consolidate the record, and reenter record into the III.
- B. The CJIS Division staff will purge the SID Number in the III for a retained record (in this case, FBI/9000001) and will replace the SID Number with an FBI pseudo-pointer for the state's data. This action is necessary because the FBI's CJIS Division has the most complete record until the state consolidates the records in its file and can provide a complete record.
- C. A \$.A.CON unsolicited message transmitted by the III to the state will contain a caveat advising that the SID Number has been removed from the III and that the state must reenter its SID Number to regain control of its data using a MRS modification message. More information on this topic is furnished in [Section 5.1](#) of this chapter.

Example:

\$.A.CON.SID/TX00000456.FBI/9000001.NCIC III RECORD CONSOLIDATION
CANCEL.SID/TX**010159.FBI/9000012.SID NUMBER EXPUNGED - REENTER TO
ASSUME CONTROL

5.6.2.4 \$.A.CON UNSOLICITED MESSAGE—CANCELED RECORD CONTAINS THE STATE’S SID/RETAINED RECORD CONTAINS AN FBI PSEUDO-POINTER FOR THE STATE’S DATA

In contrast to the circumstance presented in [Subsection 5.6.2.3](#) of this chapter, the following example shows a canceled III record that contains the state’s SID Number and a III retained record that contains an FBI pseudo-pointer for the state’s data.

Example:

Canceled Record: FBI/9000012 SID/TX00000123

Retained Record: FBI/9000001 SID/TX**010159

The following information provides detailed explanations of the \$.A.CON unsolicited message that the III transmits in this example:

- A. The CJIS Division staff will purge the canceled FBI UCN (in this case, FBI/9000012), consolidate the record, and reenter the record into the III.
- B. The FBI pseudo-pointer for the state’s data will remain in the III for a retained record (in this case, FBI/9000001).
- C. A \$.A.CON unsolicited message transmitted by the III to the state will not contain a caveat. The position of a SID Number (in this case, TX00000123) in the \$.A.CON unsolicited message should alert the state that its only SID Number has been purged from the III.

Example:

```
$.A.CON.SID/TX**010159.FBI/9000001.NCIC III RECORD CONSOLIDATION
CANCEL.SID/TX00000123.FBI/9000012
```

5.6.2.5 \$.A.CON UNSOLICITED MESSAGE—CANCELED RECORD CONTAINS STATE’S SID/RETAINED RECORD CONTAINS NO ARREST DATA FOR THE STATE

The following example shows a canceled record that is indexed with the state’s SID Number. However, the retained record will contain no data for the state until the two records are consolidated and the data from the canceled record is merged into the retained record.

Example:

Canceled Record: FBI/9000012 SID/TX00000123

Retained Record: FBI/9000001 SID/(None)

The following information provides detailed explanations of a \$.A.CON unsolicited message that the III transmits in this circumstance:

- A. The CJIS Division staff will purge the canceled FBI UCN (in this case, FBI/9000012) from the III and consolidate the record.
- B. The SID Number in the canceled record will be used as the active state III pointer in the retained record (in this case, FBI/9000001).
- C. A \$.A.CON unsolicited message transmitted by the III to the state will contain a caveat advising the state to modify its FBI UCN. A consolidation of state records is not necessary because the state has only one record for the individual.

Example:

```
$.A.CON.SID/.FBI/9000001.NCIC III RECORD CONSOLIDATION CANCEL.
SID/TX00000123.FBI/9000012.MODIFY FBI NUMBER IN YOUR FILE
```

In this circumstance, a consolidation will result in a \$.A.MSO (multi-source status) unsolicited message to another III state if the retained or canceled record was single-source prior to the consolidation.

5.6.3 \$.A.NMS UNSOLICITED MESSAGE-SID NUMBER CONSOLIDATION

When the III detects two or more SID Numbers assigned to the same individual, the III will send a \$.A.NMS (Nonmatching SID Ignored) unsolicited message to the state to advise that a different SID Number has been assigned to the individual. For indexing purposes, the III will ignore the newest SID Number. However, the III will store the newest SID Number with the specific arrest cycle for which it was submitted, and the existing SID Number indexed in the III will remain as the active state III pointer. If the state determines that the existing SID Number is not the correct one, it should use an MRS modification message to correct the SID Number. If the new SID Number is also indexed in the III for a different FBI UCN, the other FBI UCN will be provided in a caveat appended to the \$.A.NMS unsolicited message.

In addition, when a III state submits a subsequent set of fingerprints without a SID Number that is identified with a record containing the state's SID Number, the III will send a \$.A.NMS unsolicited message indicating that a nonmatching SID situation exists. The existing SID Number will remain indexed in the III for the state. However, the III will not include a SID

Number for the specific arrest cycle maintained at the FBI's CJIS Division. \$.A.NMS unsolicited messages are intended to alert SIBs of possible procedural problems at the state level.

When the FBI's CJIS Division provides the state's data in response to a fingerprint submission or document processing, the SID Number indexed as the state's III pointer is automatically inserted in the SID Number position for each of the state's dates of arrest on the FBI IdHS even though a different SID Number(s) or no SID Number may be on file for a specific date of arrest. If an FBI pointer is indexed in the III for the state's data, either the SID Number entered for a particular arrest or no SID Number (if none was on the fingerprint submission) will appear on the FBI's Identity History Summary (IdHS).

5.6.3.1 \$.A.NMS UNSOLICITED MESSAGE FORMAT

The III will send a \$.A.NMS unsolicited message when a different SID Number has been assigned to an individual whose record is already indexed in the III with the state's SID Number. The format of this message is shown below followed by an example and an explanation of the message's contents. A description of the data elements contained in this type of message is provided in [Appendix A](#) of this manual.

Message Format:

\$.A.NMS.SID/(3-10 characters). FBI/(1-9 characters).ORI/(9 characters). OAN/(1-20 characters). OAC/(1-20 characters). OCA/(1-20 characters). NAM/(3-30 characters). SEX/(1 character). RAC/(1 character). DOB/(8 characters). FPC/(Blank, or 20 characters). DOA/(9 characters). SID/(3-10 characters). NONMATCHING SID IGNORED

Example:

```
$.A.NMS.SID/TX00000317.FBI/9000006.ORI/TX0120000.OAN/BAYLOR CO
SO.OAC/SEYMOUR.OCA/A-098132.NAM/DOE,FRED.SEX/M.RAC/W.DOB/19560824.
FPC/AA040607AAAA02030908.DOA/19990519.SID/TX00000123.NONMATCHING SID
IGNORED
```

The following information provides detailed explanations of a \$.A.NMS unsolicited message that the III transmits in this circumstance:

- A. The first SID Number following the MKE \$.A.NMS is the SID Number received by the FBI's CJIS Division from the state on the incoming fingerprint submission.
- B. The FBI UCN will be the one already existing in the III for the record subject.
- C. The ORI Field through the DOA Field will be the information contained on the incoming fingerprint submission.

- D. The SID Number that appears following the DOA Field will be the SID Number already existing in the III for the record subject.

5.6.3.2 \$A.NMS UNSOLICITED MESSAGE WHEN THE SID NUMBER IS IGNORED BECAUSE OF ITS ASSOCIATION WITH ANOTHER FBI UCN

When a different SID Number has been assigned to an individual already indexed in the III with the state's SID Number and that new SID Number is also indexed as the state's active III pointer in a different FBI UCN, the III will append the \$.A.NMS unsolicited message with a caveat that identifies the other FBI UCN.

Message Format:

\$.A.NMS.SID/(3-10 characters). FBI/(1-9 characters). ORI/(9 characters). OAN/(1-20 characters). OAC/(1-20 characters). OCA/(1-20 characters). NAM/(3-30 characters). SEX/(1 character). RAC/(1 character). DOB/(8 characters). FPC/(Blank, or 20 characters). DOA/(9 characters). SID/(3-10 characters). NONMATCHING SID IGNORED - AND IS ADDITIONALLY ASSOCIATED WITH FBI UCN/(1-9 characters)

Example:

```
$.A.NMS.SID/TX00000456.FBI/9000002.ORI/TXDPD0000.OAN/POLICE
DEPARTMENT.OAC/DALLAS.OCA/DPD12345678912121212.NAM/JACKSON,CAMERON
DOUGLAS.SEX/M.RAC/W.DOB/19601201.FPC/0101AAAPOPIPMIDIDO14. DOA/
19991201.SID/TX00000789.NONMATCHING SID IGNORED - AND IS ADDITIONALLY
ASSOCIATED WITH FBI UCN/9000013
```

The following information provides detailed explanations of this type of \$.A.NMS unsolicited message appended with a caveat:

- A. The first SID Number (TX00000456) is the SID Number from the incoming fingerprint submission being processed by the FBI's CJIS Division. The III will ignore the first SID Number because it does not match the SID Number already indexed as the active III pointer for the individual (TX00000789).
- B. The first FBI UCN (9000002) is the one already existing for the individual.
- C. The ORI Field through the DOA Field contains the information from the incoming fingerprint submission.
- D. The SID Number (TX00000789) following the DOA Field is the SID Number already existing in the III for the individual.

- E. The last FBI UCN (9000013) represents the record already indexed with the SID Number (TX00000456) from the incoming fingerprint submission.

5.6.3.3 \$.A.NMS UNSOLICITED MESSAGE WHEN A SUBSEQUENT FINGERPRINT SUBMISSION DOES NOT CONTAIN THE STATE'S SID NUMBER

When a III state submits subsequent fingerprints with no SID Number in the SID Field, the III will send a \$.A.NMS unsolicited message. The first SID Number position of the \$.A.NMS unsolicited message will contain 10 blank characters representing the absence of a SID Number on the fingerprint submission.

Message Format:

\$.A.NMS.SID/ . FBI/(1-9 characters). ORI/(9 characters). OAN/(1-20 characters). OAC/(1-20 characters). OCA/(1-20 characters). NAM/(3-30 characters). SEX/(1 character). RAC/(1 character). DOB/(8 characters). FPC/(Blank, or 20 characters). DOA/(9 characters). SID/(3-10 characters). NONMATCHING SID IGNORED

Example:

```
$.A.NMS.SID/ . FBI/9000015 . ORI/TXDPD0000 . OAN/POLICE
DEPARTMENT . OAC/DALLAS . OCA/DPD98765434567890192 . NAM/RECORD , WILLIAM
TEST . SEX/M . RAC/W . DOB/19400611 . FPC/DMAA571822TT1506PODI .
DOA/ 19991216 . SID/TX02949402 . NONMATCHING SID IGNORED
```

The following information provides detailed explanations of this type of \$.A.NMS unsolicited message:

- A. The first SID Field contains the ten blank characters, which represent the absence of the SID Number from the incoming fingerprint submission.
- B. The FBI UCN (9000015) is the one already existing in the III for the individual.
- C. The ORI Field through the DOA Field contains the information from the incoming fingerprint submission.
- D. The SID Number (TX02949402) following the DOA Field is the SID Number already existing in the III for the individual.

SECTION 5.7 UPDATING STATE RECORDS WITH DISPOSITION DATA (DSP UPDATE MESSAGE)

5.7.1 INTRODUCTION

The DSP message will enable III states to update criminal history records with disposition data. The DSP may be employed to add, replace, append, and delete disposition data from arrest cycles on state-maintained records. A III state will need to make software changes to its state system in order to transmit electronic disposition updates and receive accept/reject messages related to the updates.

5.7.2 EXAMPLES OF DSP UPDATE MESSAGES

The following text furnishes examples of DSP update messages, a list of the fields that may be contained in the messages, and the MFCs that must be used. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used, the III will transmit a reject message.

Messages:

DSP With Single Disposition:

```
2L01HEADERXXXX01234.DSP.SC004445Y.FBI/9015174.SID/SC81331911.CRI/SC1012600
DMI/R.DOA/20070131.IFS/X.CCT/01.CON/7399.COL/ASSAULT.CPL/GUILTY 15 YEARS
```

DSP With Multiple Dispositions:

```
2L01HEADERXXXX01234.DSP.SC004445Y.FBI/9015174.SID/SC81331911.
CRI/SC1012600.DMI/R.DOA/20070131.IFS/X.CCT/01.CON/7399.COL/ASSAULT.
CPL/GUILTY 15 YEARS.CCT/02.CON/7399.COL/ADW.CPL/5 YEARS CONCURRENT.
CCT/03.CON/7399.COL/CARRYING A CONCEALED WEAPON.CPL/15 YEARS CONCURRENT
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
DSP.	Message Key	--
SC004445Y.	Designated State Agency Identifier	--
9015174.*	FBI UCN	FBI
SC81331911.*	SID Number	SID

SC1012600.	Controlling Agency Identifier	CRI
DMI/R.	Disposition Maintenance Indicator	DMI
DOA/20070131.	Date of Arrest	DOA
IFS/X.	IFFS Status Flag	IFS
CCT/01.	Court Count	CCT
CON/7399.	Court Offense Numeric	CON
COL/Assault.	Court Offense Literal	COL
CPL/Guilty 15 Years	Court Provision Literal	CPL

*The SIB submitting the DSP may use either the FBI UCN or SID Number, or both, as the record identifier. When both are included, III uses the FBI UCN as the primary identifier.

Message Format:

2L01HEADERXXXX01234(9-19 characters).DSP(3 characters).SC004445Y(9 characters).FBI/9015174(1-9 characters).SID/SC81331911(3-10 characters).CRI/SC1012600(1-9 characters).DMI/R(1 character).DOA/20070131(8 characters).IFS/X(1 character).CCT/01(1-2 characters).CON/7399(4 characters).COL/Assault(1-300 characters).CPL/Guilty 15 years(1-300 characters)

The SIB uses the Disposition Maintenance Indicator (DMI) to indicate the type of disposition maintenance the SIB performs on a subject's criminal history record. III will enter the default value of A when the SIB does not populate the DMI. The DMI codes are:

- **A**—used to add disposition data to a DOA.
- **D**—used to append disposition data to existing disposition data for a DOA. Only the CPL is updated.
- **R**—used to replace existing disposition data for a DOA.
- **X**—used to delete existing disposition data for a DOA. CJIS Division staff will review all DMI X requests before deletion.

The III will display the IFS value within the court segment of the subject's criminal history record. III will enter the default value of X when the SIB does not populate the IFS Field.

Additional information regarding the IFS Field is available in [Chapter 7, Section 7.1.2](#), of this manual. The IFS codes are:

- **D**—used when the subject’s record contains one or more firearms disqualifier(s).
- **X**—used when the status of the record is unknown. This is the default flag. This status is also used in cases when a criminal history record has not been reviewed to determine if the other IFFS status flag applies.

The DSP message will accept up to 99 dispositions for a date of arrest (DOA). Each disposition consists of a Court Count (CCT) and disposition number, Court Offense Numeric (CON), Court Offense Literal (COL), and Court Provision Literal (CPL). The III will enter the default value of 7399 when the SIB does not populate the CON Field.

The COL must include the original charge when an arrest charge has been amended, changed, or reduced (e.g., grand larceny reduced to petit theft).

5.7.3 EXAMPLES OF DSP ACCEPT MESSAGES

Accept messages for the DSP update message will always contain the response header characters KL01 as shown below.

When DSP Includes only the FBI UCN as the Record Identifier

```
KL01HEADERXXXX01234
SC004445Y
ACCEPT DSP FOR FNU/9015174
ALL MFCs SUPPLIED IN THE III DSP REQUEST MAY NOT NECESSITATE
UPDATES TO THE III SUBJECT CRIMINAL HISTORY RECORD.
```

When DSP Includes Only the SID Number as the Record Identifier

```
KL01HEADERXXXX01234
SC004445Y
ACCEPT DSP FOR SID/SC81331911
ALL MFCs SUPPLIED IN THE III DSP REQUEST MAY NOT NECESSITATE
UPDATES TO THE III SUBJECT CRIMINAL HISTORY RECORD.
```

When DSP Includes both the FBI UCN and SID Number as the Record Identifier

```
KL01HEADERXXXX01234
SC004445Y
ACCEPT DSP FOR FNU/9015174
ALL MFCs SUPPLIED IN THE III DSP REQUEST MAY NOT NECESSITATE
UPDATES TO THE III SUBJECT CRIMINAL HISTORY RECORD.
```

When DSP Requires Special Processing

KL01HEADERXXXX01234

SC004445Y

ACCEPT DSP FOR FNU/9015174 or SID/SC81331911

ALL MFCs SUPPLIED IN THE III DSP REQUEST MAY NOT NECESSITATE
UPDATES TO THE III SUBJECT CRIMINAL HISTORY RECORD.

YOUR TRANSACTION COULD NOT BE AUTOMATICALLY UPDATED -
ROUTED FOR SPECIAL PROCESSING.

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CHAPTER 6—NONCRIMINAL JUSTICE APPLICANT FINGERPRINT PROCESSING**SECTION 6.1—PROCEDURES FOR PROCESSING APPLICANT FINGERPRINTS****6.1.1 INTRODUCTION**

This chapter describes how applicant fingerprint submissions are processed in the Interstate Identification Index (III). These procedures impact all applicant fingerprint contributors.

Prior to 1987, the FBI's Criminal Justice Information Services (CJIS) Division provided the search results for applicant fingerprint submissions via the mail. Effective April 15, 2012, the FBI no longer accepts hard copy fingerprint cards or other hard copy biometrics such as palmprints, except in very limited circumstances. Some agencies must submit biometric information by alternate means, such as:

- Update current processing at state and local agencies.
- Submit fingerprints through an approved channeling agency.
- Submit fingerprints through a federal agency via the Joint Automated Booking System.
- Submit civil fingerprints through a federal agency via the Civil Applicant System or other method.

More information regarding the electronic submission of fingerprints can be obtained by calling the CJIS Division's Biometric Services Section (BSS) Customer Service Group at 304-625-5590.

The FBI's CJIS Division provides authorized State Identification Bureaus (SIBs) the fingerprint search results online via the III or the CJIS Wide Area Network (WAN). The results indicate whether the fingerprint submission was nonidentified (not identified) or identified with an existing criminal record at the FBI's CJIS Division.

Upon receipt of search results indicating that a subject has an existing record at the FBI's CJIS Division, a state agency may request the record information via the III using the appropriate purpose code. (Additional information about purpose codes is available in [Chapter 3](#) of this manual.) The state agency should then forward, via electronic submission or mail, the record information to the local noncriminal justice agency when the search is for noncriminal justice applicant purposes or the search results to a criminal justice agency when the search is for either criminal justice or noncriminal justice applicant purposes. Those states wishing to receive applicant fingerprint search results online via the III must provide prior notification to the CJIS Division's BSS Customer Service Group at 304-625-5590.

6.1.2 DISSEMINATION OF CRIMINAL HISTORY RECORD INFORMATION (CHRI) FOR NONCRIMINAL JUSTICE PURPOSES

To receive the FBI's Identity History Summary (IdHS) for noncriminal justice purposes, State Identification Bureaus (SIBs) must abide by state laws and III guidelines. Any III state providing its records for noncriminal justice purposes must provide all record information except that portion of the records that have been sealed at the state level. The state receiving the information is responsible for screening the FBI's IdHS information and the state's record information. If the

receiving state has screening laws, the state receiving the III information must apply those screening laws prior to disseminating the record to its noncriminal justice agencies. If screening laws do not exist, the state will disseminate the FBI's IdHS and the state's record information without screening. (Screening laws vary by state and are based on state laws.)

On June 22, 2005, the National Crime Prevention and Privacy Compact Council published a final rule, "Criminal History Record Screening for Authorized Noncriminal Justice Purposes" (28 CFR § 904) in the *Federal Register*, which formalizes the FBI's III Program guidelines related to record screening prior to the dissemination of IdHS information for noncriminal justice use.

[Appendix R](#) of this manual provides the language of 28 CFR § 904, and [Chapter 3, Section 3.2](#) contains a list of the purpose codes.

SECTION 6.2—APPLICANT FINGERPRINT SUBMISSIONS IDENTIFIED AT THE STATE LEVEL

6.2.1 INTRODUCTION

Authorized SIBs are permitted to use the III for noncriminal justice (e.g., licensing and employment) and criminal justice applicant purposes. When performing a III record request for noncriminal justice applicant purposes (Purpose Code I), the SIB must perform a technical search at the state level to identify the applicant fingerprint submission with a criminal history record prior to the record request. If the state agency makes an identification, the SIB may retrieve and forward the record to its contributors or may forward the fingerprint submission to the FBI's CJIS Division for processing. If an applicant fingerprint submission is not identified with a record at the state, the state should forward the fingerprint submission to the staff of the FBI's CJIS Division for processing. When the SIB performs a III record request for criminal justice applicant purposes (Purpose Code J), the SIB is not required to perform a technical search to identify the applicant fingerprint submission with a criminal history record prior to the record request. However, if fingerprints are collected, the SIB may perform the technical search, or it may forward the fingerprint submission to the FBI's CJIS Division for processing. If a criminal justice applicant fingerprint submission is not identified with a record at the state, the SIB should forward the fingerprint submission to the FBI's CJIS Division for processing.

6.2.2 USE OF THE III FOR NONCRIMINAL JUSTICE PURPOSE CODE I

Before processing a III record request using Purpose Code I, an authorized SIB must positively identify the subject of the request by searching the applicant fingerprint submission against its state database. If the applicant fingerprint submission is identified with a III record, the SIB may use a QH (Query Index) inquiry message to retrieve any aliases and other supplemental identifiers that may be on file. The SIB must use either the individual's FBI Universal Control Number (UCN) or SID Number, and the QH must contain Purpose Code I. If the SIB uses the identifiers NAM (name), DOB (date of birth), SEX, RAC (race), or SOC (Social Security number)/MNU (Miscellaneous Number) without the FBI UCN or the SID and uses Purpose Code I, the III will reject the inquiry.

To obtain the actual record information via the III, the state must use a QR (Query Record) record request message containing Purpose Code I. Only those III states that respond to Purpose Code I will receive \$.A.CHR (Criminal History Request Notification) unsolicited messages containing this purpose code. The III will provide the FBI's IdHS for those states that do not respond to Purpose Code I. More information on the \$.A.CHR unsolicited message is furnished in [Chapter 2](#), and examples appear in [Chapter 3](#) of this manual.

A III record provided by the FBI's CJIS Division for Purpose Code I will have the following caveats appended:

BECAUSE ADDITIONS OR DELETIONS MAY BE MADE AT ANY TIME, A NEW COPY SHOULD BE REQUESTED WHEN NEEDED FOR SUBSEQUENT USE.

ALL ARREST ENTRIES CONTAINED IN THIS FBI RECORD ARE BASED ON FINGERPRINT COMPARISONS AND PERTAIN TO THE SAME INDIVIDUAL.

THE USE OF THIS RECORD IS REGULATED BY LAW. IT IS PROVIDED FOR OFFICIAL USE ONLY AND MAY BE USED ONLY FOR THE PURPOSE REQUESTED.

6.2.3 USE OF THE III FOR CRIMINAL JUSTICE EMPLOYMENT PURPOSE CODE J

An authorized SIB must use Purpose Code J (Criminal Justice Employment) in its QH inquiry and QR record request messages when processing an applicant fingerprint submission for criminal justice employment. When performing III record requests for criminal justice applicant purposes (Purpose Code J), the SIB is not required to perform a technical search to identify the applicant fingerprint submission with a criminal history record prior to the request. However, if fingerprints are collected, the SIB may perform the technical search, or it may forward the fingerprint submission to the FBI's CJIS Division for processing.

Only those III states that respond to Purpose Code J will receive \$.A.CHR unsolicited messages containing this purpose code. The III will provide the FBI IdHS for those states that do not respond to Purpose Code J. More information on the \$.A.CHR unsolicited message is furnished in [Chapter 2](#), and examples appear in [Chapter 3](#) of this manual.

SECTION 6.3—ALTERNATIVES FOR PROCESSING APPLICANT FINGERPRINT SUBMISSIONS

6.3.1 NONIDENTIFICATIONS

When the FBI's CJIS Division staff nonident (does not identify) applicant fingerprint submissions, fingerprint contributors have two methods to receive notifications of the nonidents:

- **Method 1**—The FBI's CJIS Division provides via the CJIS Wide Area Network (WAN) or mail the nonident record response to the appropriate agency (the contributor or the SIB) and destroys the fingerprint submission.
- **Method 2**—The III sends an online \$.A.CFN (Applicant Fingerprint Submissions Not Identified) unsolicited message to the SIB providing the nonident record response, and the SIB provides the results to the contributor. Refer to [Section 6.4](#) of this chapter for the message format and an explanation of the \$.A.CFN unsolicited message.

6.3.2 IDENTIFICATIONS

When the FBI's CJIS Division staff identifies applicant fingerprint submissions with III records, fingerprint contributors in screening and nonscreening states have two methods to receive notifications of the identifications:

FBI Retrieves the Record Information

- **Method 1A**—(Nonscreening States)—The FBI's CJIS Division staff retrieves the record information and provides it via the CJIS WAN or mails the record (depending on a state's dissemination preference) to the appropriate agency (the contributor or SIB) based on existing statutes.
- **Method 1B**—(Screening States)—The staff at the FBI's CJIS Division retrieves the record information and provides it via the CJIS WAN or mails the record to the SIB depending on the state's dissemination preference. The SIB applies its dissemination standards before responding to the contributor.

State Retrieves the Record Information

- **Method 2**—(Screening and Nonscreening States)—The III sends an online \$.A.CFR unsolicited message to the SIB that contains the FBI UCN, purpose code, and other pertinent data from the fingerprint submission. The SIB is then responsible for retrieving the record information and forwarding it to the contributor. Refer to

[Section 6.5](#) of this chapter for the message format and explanation of the \$.A.CFR unsolicited message.

6.3.3 STATE OUTREACH

With the deployment of Increment 4 of the Next Generation Identification (NGI) on September 7, 2014, the FBI began using III messaging to send a \$.A.CHR message to a state to obtain the record for a tenprint submission that positively identifies an active SID, also referred to as an active state pointer. This process is what the FBI refers to as state outreach. Before NGI, the FBI would contact only National Fingerprint File (NFF) state participants. The FBI's CJIS Division made this change to provide the most accurate response to the contributor of the tenprint submission. This occurs only for the purpose codes the particular state supports.

If the state responds to the FBI within the maximum response time (e.g., 10 minutes), the FBI replaces its internal record with the state's record and appends the state response to the FBI response. The FBI response will include the state response and any criminal events retained in the NGI not associated with an active state pointer as well as all federal event data. Should a state not provide the FBI with a response within the maximum response time, the FBI will respond with all information retained in the NGI that can be disseminated for that state.

SECTION 6.4—USE OF THE \$.A.CFN MESSAGE WHEN APPLICANT FINGERPRINT SUBMISSIONS ARE NOT IDENTIFIED

6.4.1 INTRODUCTION

When an applicant fingerprint submission is not identified with a record in the III, the III transmits the search results online via a \$.A.CFN unsolicited message to the appropriate SIB. Upon receipt of the search results, the SIB either retransmits or mails the results to the contributor.

States submitting applicant fingerprints electronically to the NGI may opt to use the Search Results Electronic (SRE) message instead of the optional III unsolicited \$.A.CFN message to finalize the applicant processing. Upon receipt of an SRE or a \$.CFN message indicating nonidentification, the SIB must notify the contributing agency electronically or via mail. Refer to [Chapter 6, Section 6.4.2](#) of this manual for the message format and an explanation of the \$.A.CFN unsolicited message.

6.4.2 \$.A.CFN UNSOLICITED MESSAGE FORMAT

The \$.A.CFN unsolicited message format is provided below followed by an example and an explanation of its contents. A list of field edit codes is furnished in [Appendix A](#) of this manual.

Message Format:

\$.A.CFN.ORI/(9 characters).OAN/(1-20 characters).OAC/(1-20 characters).

Example:

\$.A.CFN.ORI/IL043015Z.OAN/LICENSING BOARD.OAC/CHICAGO.

NAME	SEX	RACE	BIRTH DATE	SOCIAL SECURITY
ANDERSON, CLYDE	M	W	1956/06/26	123-45-6789

CASE	DATE FINGERPRINTED	FBI REPLY DATE
G-34567890	2013/12/15	2013/12/15

THE PROCESSING OF THE FINGERPRINTS YOUR AGENCY SUBMITTED FOR THE INDIVIDUAL ABOVE FAILED TO DISCLOSE A PRIOR CRIMINAL HISTORY RECORD INDEXED IN FBI FILES. THE FINGERPRINT CARD IS BEING DESTROYED.
END

The following details explain the \$.A.CFN unsolicited message.

- A. The information in the \$.A.CFN unsolicited message is derived from the applicant fingerprint submission.
- B. The OAN and OAC Fields each have a maximum length of 20 characters.

- C. The case number can have a maximum of 20 alphabetic and/or numeric characters. Special characters are not permitted. To easily match the messages with the applicant fingerprint submission, contributors should consider a numbering scheme or other information for the case number that assists in identifying the message with the applicant. If the case number is not provided with the applicant fingerprint submission, the heading CASE will appear in the message; however, no data will appear underneath the heading.
- D. When no date is given for DATE FINGERPRINTED, the III system inserts the date the FBI's CJIS Division processed the applicant fingerprint submission.
- E. The FBI REPLY DATE is the date the III sent the \$.A.CFN unsolicited message.
- F. Because the receiving agency is expected to print this message, the appropriate line control characters necessary for printing will be present in the transmission.

SECTION 6.5—USE OF THE \$.A.CFR MESSAGE WHEN APPLICANT FINGERPRINT SUBMISSIONS ARE IDENTIFIED

6.5.1 INTRODUCTION

When the III identifies an applicant fingerprint submission with a record in the NGI, the III transmits the search results online to the appropriate SIB via a \$.A.CHR unsolicited message. The \$.A.CFR message provides the FBI UCN, the purpose code, and other pertinent data from the fingerprint submission. Upon receipt of the search results, the SIB retrieves the record via the III, applies any dissemination standards to the response(s), and either retransmits or mails the results to the contributor.

States submitting applicant fingerprints electronically to the NGI may opt to use the Search Results Electronic (SRE) message instead of the optional III unsolicited \$.A.CFN message to finalize the applicant processing. Upon receipt of an SRE or a \$.CFN message indicating nonidentification, the SIB must notify the contributing agency electronically or via mail. Refer to [Chapter 6, Section 6.4](#) of this manual for the message format and an explanation of the \$.A.CFN unsolicited message.

6.5.2 \$.A.CFR UNSOLICITED MESSAGE FORMAT

The \$.A.CFR unsolicited message format is presented below followed by an example and an explanation of its contents.

Message Format:

\$.A.CFR.PUR/(1 character).FBI/(1-9 characters).ORI/(9 characters).OAN/(1-20 characters).OAC/(1-20 characters).

Example:

\$.A.CFR.PUR/I.FBI/9015174.ORI/CA013000Z.OAN/RACING COMMISSION.
OAC/SACRAMENTO.

NAME	SEX	RACE	BIRTH DATE	SOCIAL SECURITY
SAMPLE, PATRICK	M	W	1956/12/26	123-45-6789

CASE	DATE FINGERPRINTED	FBI REPLY DATE
00-4567890	2013/12/15	2013/12/18

THE FINGERPRINTS YOUR AGENCY SUBMITTED FOR THE INDIVIDUAL ABOVE WERE PROCESSED AND IDENTIFIED WITH A RECORD INDEXED IN FBI FILES AS FOLLOWS:

NAME	FBI NO.
SAMPLE, JOHN PATRICK	9015174

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE
M	W	1955/12/26	601	189	BLU	BRO	MICHIGAN

FINGERPRINT CLASS	PATTERN CLASS
PO PM 14 CO 09	RS LS WU WU LS RS LU WU RS WU
01 13 XX 17 62	RS LS WU WU LS RS LU WU RS WU

ALIAS NAMES
SAMPLE, PATRICK

OTHER	SCARS-MARKS-	SOCIAL SECURITY	MISC NUMBERS
BIRTH DATES	TATTOOS		
1954/12/23	SC L CHK	777-77-7777	AF-989898989
	SC ABDOM		

IDENTIFICATION DATA UPDATED 2010/03/05

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

FLORIDA	- STATE ID/FL0000123
FBI	- FBI/9015174

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION. THE FINGERPRINT CARD YOUR AGENCY SUBMITTED IS BEING DESTROYED.
END

The following details explain the \$.A.CFR unsolicited message.

- A. The first six lines in the \$.A.CFR unsolicited message are derived from the applicant fingerprint submission.
- B. If the fingerprint submission represents an applicant for criminal justice employment, the requesting agency must change the purpose code from Purpose Code I (PUR/I) to Purpose Code J (PUR/J).
- C. The OAN and OAC Fields each have a maximum length of 20 alphabetic and/or numeric characters. Spaces are allowed, but special characters are not permitted.
- D. The case number can be a maximum of 20 alphabetic and/or numeric characters. Special characters are not permitted. To easily match the messages with the applicant fingerprint submission, contributors should consider a numbering scheme or other information for the case number that assists in identifying the message with the applicant. If the case number is not provided with the applicant fingerprint submission, the heading CASE will appear in the message; however, no data will appear underneath the heading.

- E. When no date is given for DATE FINGERPRINTED, the III system inserts the date the FBI's CJIS Division processed the applicant fingerprint submission.
- F. The FBI REPLY DATE is the date the \$.A.CFR unsolicited message was sent.
- G. Because fingerprint classifications were not collected after July 28, 1999, (when the Integrated Automated Fingerprint Identification System [IAFIS] began) the FINGERPRINT CLASS is not provided on responses that were established after that date. The heading FINGERPRINT CLASS will appear in the message; however, no data will appear underneath the heading.
- H. The THE CRIMINAL HISTORY RECORD caveat will be completed as follows:
 - a. When the purpose code in the first line is I, the record information will be provided by those III states that have authority to provide their record information for Purpose Code I; the FBI's CJIS Division will provide the record information for all other states.
 - b. When the purpose code in the first line is J, the record information will be provided by those III states that have authority to provide their record information for Purpose Code J; the FBI's CJIS Division will provide the record information for all other states.

6.5.3 FBI RETRIEVES IdHS INFORMATION (METHODS 1A AND 1B)

When the FBI's CJIS Division identifies an applicant fingerprint submission with a III record, and the submitting state has elected the FBI to retrieve the record information (according to Methods 1A and 1B as described in [Section 6.3.2](#) of this chapter), the FBI's CJIS Division staff will retrieve the record information and provide it via the CJIS WAN or via mail to the submitting state, depending on the state's preference. A response cover sheet will advise the recipient why the record is being provided and which agencies provided the IdHS information. When an NFF state maintains all or a portion of an identified record or the record has an active III state pointer, the FBI's CJIS Division will use the III to retrieve the NFF record and/or III state's record if the appropriate purpose code is supported by the state. If the III state responds to the FBI within the maximum response time (e.g., 10 minutes), the FBI replaces its internal record with the state's record and appends the state response to the FBI response. The FBI response will include the state response and any criminal events retained in the NGI not associated with an active state pointer as well as all federal event data. Should a III state not provide the FBI with a response within the maximum response time, the FBI will respond with all information retained in the NGI that can be disseminated for that state. Additional information is located in [Section 6.3](#).

6.5.4 ELECTRONIC APPLICANT SUBMISSIONS

Those states submitting applicant fingerprints electronically to the NGI may opt to use the Search Results Electronic (SRE) message instead of the optional III unsolicited \$.A.CFN/CFR messages to finalize the applicant processing. Upon receipt of an SRE message indicating identification, the SIB must request the III record using the purpose code authorized by the type of tenprint submission and forward the record to the contributing agency electronically.

SECTION 6.6—NONCRIMINAL JUSTICE RAP BACK SERVICE

6.6.1 INTRODUCTION

For decades, state and federal agencies and other authorized entities have collected and submitted civil fingerprints to the FBI to perform criminal background checks for noncriminal justice purposes. Due to the capacity limitations, the legacy IAFIS did not retain most of the civil fingerprints submitted. Once processed, the fingerprint submissions were destroyed. However, the NGI retains all civil fingerprints as authorized by the submitting agencies. This retention of civil fingerprints provides the foundation for the Rap Back service, which provides for a continuous vetting of the person's suitability for his or her position of trust. In essence, it alleviates the re-fingerprinting of an individual for the same position over a period of time.

6.6.2 NONCRIMINAL JUSTICE RAP BACK

Currently, authorized agencies submit the civil fingerprints of employment applicants, licensees, and other individuals in positions of public trust on a periodic basis to determine if the individuals have engaged in criminal conduct that would prohibit the holding of such positions or licenses. Authorized agencies may now choose to submit the civil fingerprints for retention and subscribe to the Rap Back service. This will result in an ongoing review of the criminal history status of each individual as long as the individual remains in a position of trust. In other words, rather than authorized agencies resubmitting civil fingerprints for periodic background checks, the civil fingerprints will be retained and searched for as long as the individuals are enrolled in the Rap Back service.

To understand the Rap Back service, it is important to be familiar with some of its terms, including submitting entity, subscribing entity, NGI identity, subscription, and trigger.

- The **submitting entity** refers to the federal agency, State Identification Bureau, or authorized Criminal History Record Information (CHRI) contractor or channeler that submits fingerprints and subscriptions for a subscribing entity. Results are returned to the submitting entity, which is responsible for sending notifications to the subscribing entities.
- The **subscribing entity** is authorized under statute, executive order, or regulation to receive CHRI and that subscribes to NGI identities through the Rap Back service.
- An **NGI identity** refers to the individual for whom an agency enrolled a fingerprint submission in the Rap Back service.
- A **subscription** refers to the length of time an agency wishes to have an individual enrolled in the Rap Back service. A lifetime subscription does not refer to the individual's lifespan but rather the duration of time that the individual is still of lawful interest to the agency.

- A **trigger** is an event that will cause the NGI to notify the submitting entity of activity on an individual's fingerprint submission. The submitting entity is then responsible to forward the information to the subscribing agency. Triggers are discussed more in more detail below.

If a submitting agency (on behalf of a subscribing agency) wants to use the Rap Back service:

- The submitting agency (on behalf of the subscribing agency) must conduct a criminal history background check for an individual to determine an initial suitability for a position of trust.
- Once the initial background check is completed and the individual is determined to be suitable for a position of trust, the CJIS Division staff will subscribe to the Rap Back service in the NGI for that individual. Only governmental agencies or nongovernmental entities with an ORI assigned by the FBI's CJIS Division may establish Rap Back subscriptions. These government agencies or nongovernmental entities have been authorized by federal statute, federal executive order, or state statute approved by the U.S. Attorney General to receive criminal history record information for noncriminal justice purposes.
- The submitting agency (on behalf of the subscribing agency) is permitted to enroll an individual's submission in the Rap Back service simultaneously with the initial background check or in a subsequent transaction.
- The submitting agency (on behalf of the subscribing agency) determines what events (also known as triggering events) will trigger a notification to the subscribing agency. Eleven events are possible to trigger a notification. An agency may select one, some, or all of those 11 events for notification. If an agency does not select a triggering event, the Criminal Retain Submission will serve as the default and will be the only event to trigger a notification.

The available triggering events are:

- **Criminal Retain Submission**
When a retained criminal Tenprint Fingerprint Identification Submission transaction or NFF Criminal Print Identification (CPI) transaction matches a submission of an individual whose fingerprints are enrolled in the Rap Back service, it will trigger a notification to the submitting agency via the NGI. This trigger is set automatically for all subscriptions, regardless of whether or not it is requested.

- **Dispositions**

When a reported disposition transaction matches a submission of an individual whose fingerprints are enrolled in the Rap Back service, it will trigger a notification to the submitting agency via the NGI. The disposition transactions included are:

 - Disposition Fingerprint Search Request
 - Disposition Submission Request
 - Disposition Maintenance Request

- **Civil Retain Submission**

When a retained civil Tenprint Fingerprint Identification Submission matches a submission of an individual whose fingerprints are enrolled in the Rap Back service, it will trigger a notification to the submitting agency via the NGI. This trigger, which is limited to certain federal agencies with specific statutory authority to receive this information, will provide notification of civil event information. If requested, the NGI will return a new IdHS to the submitting agency.

- **Expunge/Partial Expungement**

When all, or a portion, of a record for an individual whose fingerprints are enrolled in the Rap Back service is expunged, it will trigger a notification to the submitting agency via the NGI. This trigger will also provide notification of the Date of Arrest and criminal information being removed from the record.

- **Warrant Entry with the FBI UCN Included**

When a record containing an FBI UCN that matches a submission of an individual whose fingerprints are enrolled in the Rap Back service is entered into the National Crime Information Center (NCIC) Wanted Person file or Immigration Violator file, it will trigger a notification to the submitting agency via the NGI. The IdHS will include information about the warrant.

- **Warrant Deletion**

When a record containing an FBI UCN that matches a submission of an individual whose fingerprints are enrolled in the Rap Back service is deleted from the NCIC Wanted Person File or Immigration Violator File, it will trigger a notification to the submitting agency via the NGI. An NCIC transaction of Cancel, Clear, or Locate will activate this trigger.

- **Warrant Modification**

When a record containing an FBI UCN that matches a submission of an individual whose fingerprints are enrolled in the Rap Back service is modified within the NCIC Wanted Persons File or Immigration Violator File, it will trigger a notification to the submitting agency via the NGI.

- **Sex Offender Registry Entry**
When a record containing an FBI UCN that matches a submission of an individual whose fingerprints are enrolled in the Rap Back service is entered into the NCIC Sex Offender Registry, it will trigger a notification to the submitting agency via the NGI. The IdHS will include the Sex Offender Registry notification.
- **Sex Offender Registry Deletion**
When a record containing an FBI UCN that matches a submission of an individual whose fingerprints are enrolled in the Rap Back service is deleted from the NCIC Sex Offender Registry, it will trigger a notification to the submitting agency via the NGI. An NCIC transaction of Cancel or Clear will activate this trigger.
- **Sex Offender Registry Modification**
When a record containing an FBI UCN that matches a submission of an individual whose fingerprints are enrolled in the Rap Back service is modified within the NCIC Sex Offender Registry, it will trigger a notification to the submitting agency via the NGI. Transactions that will cause this trigger to activate are limited to modification of any of the following fields:
 - Name
 - Case Number
 - Registration Date
 - Registry Expiration Date
 - Registering Agency
- **Death Notices**
When the NGI receives a death notice and associates it with an individual whose fingerprints are enrolled in the Rap Back service, it will trigger a notification to the submitting agency via the NGI. This includes both fingerprint-based and nonfingerprint-based death notice submissions. The Rap Back activity notification will indicate whether or not it was a fingerprint-supported notice. The NGI does not remove the Rap Back subscription as a result of a fingerprint-based or nonfingerprint-based death notice. The removal of subscriptions is not automatic; subscriptions are not removed without the subscriber's authorization.

There are three Rap Back subscription periods:

- Up to 2 years
- Up to 5 years
- Lifetime

A lifetime subscription does not refer to the individual's lifespan but rather the duration of time that the individual is still of lawful interest to the agency. If legal authority no longer exists for the subscription, or if the authorized agency no longer desires to maintain the subscription, the

subscribing agency must terminate the subscription by contacting the Rap Back staff at the FBI's CJIS Division via e-mail at <RAP_BACK@ic.fbi.gov>.

To assist with keeping data related to the Rap Back service accurate and up-to-date, all subscriptions must have an expiration date as part of Rap Back's privacy risk mitigation strategies. In some instances, the expiration date will be the expiration of a professional license or other authorized term. In other instances, the expiration date will be the maximum authorized term of 5 years. At the 5-year mark, the authorized agency must verify that it remains authorized to receive the triggering event information regarding the individual. If the agency fails to verify continued authorization, the NGI will cancel the subscription.

For more information regarding noncriminal justice Rap Back services, subscriptions, options, and/or general questions, contact the CJIS Division's BSS Customer Service Group at 304-625-5590.

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CHAPTER 7—SPECIAL FLAGS AND RECORD CYCLES**SECTION 7.1—IDENTIFICATION FOR FIREARMS SALES (IFFS)****7.1.1 INTRODUCTION**

This chapter describes the design of the Identification for Firearms Sales (IFFS) Program and includes the necessary programming changes, record response processing, and status flag maintenance that must occur after an Interstate Identification Index (III)/National Fingerprint File (NFF) state becomes an IFFS participant.

After the implementation of the National Instant Criminal Background Check System (NICS) in 1998, most criminal justice agencies no longer use the III to conduct background checks on prospective applicants for firearms purchases (Purpose Code F). However, certain circumstances still require the use of Purpose Code F in firearms-related checks, such as:

- A. Issuing firearms-related permits and explosives permits pursuant to state law, regulations, or local ordinances.
- B. Returning firearms to their lawful owners.
- C. Enforcing federal and state laws prohibiting certain persons with criminal records from possessing firearms in circumstances in which firearms have been pawned.

7.1.2 IFFS SYSTEM DESIGN

The IFFS system design uses III flags to indicate that an individual's criminal history record(s) may contain disqualifying information pursuant to the Brady Handgun Violence and Prevention Act of 1993. This design includes two unique flags incorporated in the flagging system. The FBI's CJIS Division and the III/NFF states use these flags to maintain the status of criminal history records. However, users will not see the flags because they will be interpreted in the III response. The flags are:

- **D**—used when the subject's record contains one or more firearms disqualifier(s).
- **X**—used when the status of the record is unknown. This is the default flag. This status is also used in cases when a criminal history record has not been reviewed to determine if the other IFFS status flag applies.

The IFFS program participants should set a flag value of D whenever a subject has a firearms disqualifier within the record. The Gun Control Act of 1968 states that a person is disqualified from purchasing a firearm if the person has one of the prohibitions listed below. The records of individuals whose convictions have been expunged, set aside, or for which the person has been pardoned, or had his or her civil rights completely restored are excluded from this disqualification.

The federal firearm prohibitions against possession/purchase are found in Title 18, United States Code (U.S.C.) §§922(g) and (n). Further definitions of these prohibitions are found in 18 U.S.C. §921 and §922(y) and 27 *Code of Federal Regulations* (CFR) §178. The general categories are:

- A. Persons who have been convicted in any court of a crime punishable by imprisonment for a term exceeding 1 year. This includes misdemeanors that are punishable by a term of imprisonment exceeding 2 years. This statutory prohibition is under 18 U.S.C. §§922(g)(1), and 921(a)(20). The potential maximum term of imprisonment authorized under the convicting statute, not the sentence actually imposed by a court, triggers this prohibition.
- B. Persons who are under indictment or information for a crime punishable by imprisonment for a term exceeding 1 year. This statutory prohibition is under 18 U.S.C. §922(n) and 27 CFR §178. This includes persons under indictment or information for misdemeanors punishable by a term of imprisonment exceeding 2 years.
- C. Persons who are fugitives from justice under 18 U.S.C. §922(g)(2). This includes persons subject to warrants for both misdemeanor and felony offenses. There is no requirement that extradition be requested.
- D. Persons who are unlawful users of or addicted to any controlled substance, as defined in section 102 of the Controlled Substances Act, 21 U.S.C. §802, and under 18 U.S.C. §922(g)(3). This prohibition includes any person who is a current user of a controlled substance. An inference of current use may be drawn from recent use or possession of a controlled substance: e.g., a positive drug test upon arrest or during probation within the past year, a conviction for use or possession of a controlled substance within the past year, or multiple arrests for such offenses within the past 5 years if the most recent arrest occurred within the past year under 27 CFR §178.
- E. Persons who have been adjudicated as mental defectives or have been involuntarily committed to a mental institution. Adjudication is a determination made by a court, board, commission, or other lawful authority that a person, as a result of subnormal intelligence, mental illness, incompetency, condition, or disease, is a danger to himself/herself or others or lacks the mental capacity to contract or manage his/her own affairs. This prohibition includes a finding of insanity by a court in a criminal case. This prohibition applies even if the individual has subsequently been declared sane, competent, cured, or no longer a danger to himself/herself or others, unless the jurisdiction has a Bureau of Alcohol, Tobacco, Firearms and Explosives-approved relief from disabilities program pursuant to the NICS Improvement Amendments Act of 2007. This statutory prohibition is under 18 U.S.C. §922(g)(4).
- F. Persons who are: (1) illegal or unlawful aliens or (2) have been admitted to the United States under a nonimmigrant visa and who do not qualify for the exceptions or

possess a waiver from the Attorney General of the United States as provided in 18 U.S.C. §922(y)(2). This statutory prohibition is under 18 U.S.C. §922(g)(5).

- G. Persons who have been discharged from the Armed Forces under dishonorable conditions. This statutory prohibition is under 18 U.S.C. §922(g)(6).
- H. Persons who have renounced their United States citizenship. This statutory prohibition is under 18 U.S.C. § 922(g)(7).
- I. Persons who are subject to a court order restraining them from committing an act of domestic violence. The order must have been issued after a hearing during which the restrained person received actual notice of the hearing and had an opportunity to participate. The restrained individual needs only to have an opportunity to participate in the hearing. Consequently, failure to appear at the hearing or consenting to the entry of the order without a hearing does not affect this prohibition. Consent orders and orders entered by a court upon the respondent's failure to appear qualify as an "opportunity of participate in a hearing" and meet the criteria for the prohibition.

The court order must restrain the person from harassing, stalking, or threatening an intimate partner, the child of the intimate partner or the respondent, or restrain the individual from engaging in other conduct that would place the intimate partner in reasonable fear of bodily injury to the partner or child. The order must: (1) include a finding that the restrained person represents a credible threat to the physical safety of the intimate partner or child or (2) explicitly prohibit the use, attempted use, or threatened use of physical force against the intimate partner or child that would reasonably be expected to cause bodily injury. (For the definition of "intimate partner," refer to 18 U.S.C. §921(a)(32) and 27 CFR §178). It is immaterial whether the issuing court has determined that the order is subject to the federal firearm prohibitions; this is an independent determination under federal law, not state law. Consequently, if the order meets federal criteria, the order must be submitted as a disqualifying record. This statutory prohibition is under 18 U.S.C. §922(g)(8).

- J. Persons who have been convicted in any court of a misdemeanor crime of domestic violence (MCDV). The term MCDV includes offenses that are classified as a misdemeanor under state or federal law (including municipal ordinances), or in states that do not classify offenses as misdemeanors, the definition includes any state or local offense punishable by imprisonment for a term of 2 years or less, or punishable by a fine. The offense must also have, as an element of the offense, the use or attempted use of physical force or the threatened use of a deadly weapon. The convicting statute need not include terms such as "domestic violence," nor is there a requirement of actual physical injury. Consequently, examples of potentially qualifying offenses are simple assault, battery, offensive touching, sexual abuse, affray, and disorderly conduct.

In addition to the elements discussed above, the offense must have been committed by a current or former spouse; by a parent or guardian of the victim; by a person with whom the victim shares a child in common; by a person who is cohabiting with, or has cohabited with, the victim as a spouse, parent, or guardian; or by a person similarly situated to a spouse, parent, or guardian. Qualifying relationships include same-sex relationships. The relationship between victim and defendant need not appear as an element of the convicting statute but can be determined independently by reference to court documents (including plea colloquies or sentencing transcripts), police reports, charging documents, or other official sources. For further definitions, see 18 U.S.C. §921(a)(33), and 27 CFR §178. This statutory prohibition is under 18 U.S.C. §922(g)(9).

7.1.3 RECORD RESPONSE PROCESSING

Although response headers for firearm requests (QR [Query Record] request messages) did not change with the implementation of the IFFS Program, response headers for firearm-related inquiries (QH [Query Index] inquiry message) did change. The first character of the inquiry response header begins with a unique alphabetic character that readily identifies (1) if a subject is disqualified from purchasing a weapon, or (2) if the circumstances require a review of the criminal history record to make a determination. The header characters used in these instances are the alphabetic characters D and L. Messages transmitted in response to firearms-related QH inquiries finding no criminal history records indexed in the III continue to use a response header beginning with the alphabetic character N.

The IFFS Program uses flags D or X to record the correct status flag in criminal history records. However, these alphabetic characters are not quoted in the responses. Instead, the literal translation for the status flags is displayed immediately following the FBI UCN and/or each SID Number on all QH inquiries and QR record request responses when III transactions are made for firearms-related checks.

The following subsections provide examples of the unique responses for these inquiries.

7.1.3.1 RECORD RESPONSE FOR NO RECORD ON FILE

When no record information is identified for a record subject, the alphabetic character N will be the first character of the response header in a firearms-related QH inquiry single candidate response.

```
NL01HEADERXXXX01234
DCFBIWA10
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX
(III) FOR NAM/TEST,JANE.DOB/19740103.RAC/W.SEX/F.PUR/F.
END
```

7.1.3.2 RECORD RESPONSE FOR DISQUALIFYING INFORMATION

When a subject's record contains disqualifying information, the alphabetic character D will be the first character of the response header in a firearms-related QH inquiry single candidate response, and the IFFS flag will be D.

DL01HEADERXXXX01234

DCFBIWA10

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF
YOUR INQUIRY ON NAM/TEST, JANE DOB/19740103 RAC/W SEX/F PUR/F

NAME	FBI NO.	INQUIRY DATE
TEST, JANE	9009900	2014/01/02

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
F	B	1974/01/03	506	125	BRO	BRO	UTAH	N

FINGERPRINT CLASS	PATTERN CLASS
PI 61 08 CI 14	RS LS RS RS LS LS RS RS LS LS
70 22 63 PO 09	AU WU AU AU WU AU

SCARS-MARKS- TATTOOS GLASSES	SOCIAL SECURITY
TAT L ARM	244-54-1212

IDENTIFICATION DATA UPDATED 2009/01/29

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE
FOLLOWING:

VIRGINIA	- STATE ID/VA1212126	- DISQUALIFICATION FOR FIREARMS
GEORGIA	- STATE ID/GA3332345	- UNKNOWN

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION
INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.

END

7.1.3.3 RECORD RESPONSE FOR UNKNOWN STATUS

When the status of a subject's record is unknown (including circumstances when there is no disqualifying information, but there is a pending final disposition), the alphabetic character L will be the first character of the response header in a firearms-related QH inquiry single candidate response, and the IFFS flag will be X.

NOTE: The alphabetic character L is also used when the QH inquiry response is a multiple candidate response regardless of the presence or absence of a disqualifying conviction in any of the records.

LL01HEADERXXXX01234
DCFBIWA10
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF
YOUR INQUIRY ON NAM/TEST,JEAN DOB/19740103 RAC/W SEX/F PUR/F

NAME	FBI NO.	INQUIRY DATE
TEST, JEAN	9066600	2014/01/02

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
F	B	1970/01/03	506	125	BRO	BRO	UTAH	N

FINGERPRINT CLASS	PATTERN CLASS
PI 61 09 CI 14	RS LS LS RS LS RS RS LS LS
70 22 63 PO 08	AU WU AU AU WU AU

SCARS-MARKS-TATTOOS	SOCIAL SECURITY
GLASSES	241-54-1212
TAT L ARM	

IDENTIFICATION DATA UPDATED 2009/01/29

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

FBI	- FBI/9066600	- UNKNOWN
SOUTH CAROLINA	- STATE ID/SC0012344	- UNKNOWN

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.

END

7.1.4 INITIAL SETTING AND MAINTENANCE OF IFFS STATUS FLAGS

Both the states and the FBI have a part in setting IFFS status flags in III records. When the program was implemented in 1992, the FBI set the unknown value of X in all existing III records. Since then, the FBI sets X flags for all new criminal fingerprint submissions received from State Identification Bureaus (SIBs) and other contributors. This occurs either when the FBI establishes a III record for the first time (no identification [a “nonident”]) or when the fingerprint submission is identified with an existing record and is the first arrest for a state. It is then the IFFS participating state’s responsibility to modify the X flag when the disposition becomes available and the IFFS status changes.

III/NFF states anticipating IFFS participation should notify the III staff at the FBI's CJIS Division by e-mail at <fbi-iii@leo.gov> as far in advance as possible. The CJIS Division's staff will provide standards to the state agency wishing to be an IFFS participant. The state agency must agree to these standards, or the CJIS Division's staff will not enroll the state agency as an IFFS participant. These standards are listed in [Section 7.1.6](#) of this chapter.

IFFS states have two means of changing the IFFS status flag: (1) an online EHN update message (which is explained below) containing the appropriate matching criteria and the Message Field Code (MFC) IFS/ followed by the appropriate status flag or (2) a computer medium with EHN (Enter Supplemental Identifiers) update messages submitted to the FBI's CJIS Division in the appropriate message format. III/NFF states having large volumes of IFFS status flags and are contemplating submission of a computer medium should also contact the III staff at the FBI's CJIS Division by e-mail at <fbi-iii@leo.gov> for testing purposes prior to the submission of the medium.

The following example shows an EHN update message followed by a list of the fields that are contained in it and the MFC that the agency must use. MFCs shown as two hyphens (--) indicate mandatory positional fields that do not permit the use of an MFC. If an agency uses an MFC in that field, the III will transmit a reject message.

Message:

```
2L01HEADERXXX01234.EHN.MNBCA0000.MN82009700.9000005.IFS/
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXX01234.	Header	--
EHN.	Message Key	--
MNBCA0000.	Designated State Agency Identifier	--
MN82009700.	SID	--
9000005.	FBI UCN	--
IFS/	IFFS Status Flag	IFS/

The state agency should fill the blank field after IFS/ with a D or X. Receipt of this EHN update message will modify the IFS Status Flag in the state's record in the III.

After a state has set an IFFS Status Flag in a record, the flag will remain there until the state changes the flag, as long as the state's SID Number is not expunged.

7.1.5 ADDITIONAL SYSTEM CHANGES

With the implementation of the IFFS Program, the \$.A.CON (FBI UCN Consolidation) unsolicited message indicates when the participating state agency modifies the IFFS flag. In addition, the III adds the IFFS status to the response to a ZI (Record Maintenance) inquiry message and the response to the MRS (Modify Record SID) modification accept message. An example of the \$.A.CON unsolicited message follows:

```
$.A.CON.SID/FL00000113.FBI/9000005.NCIC III RECORD CONSOLIDATION  
CANCEL.SID/FL00000123.FBI/9000006.IFS STATUS IS UNKNOWN. IF A REVIEW OF THE  
CONSOLIDATED RECORD INDICATES THAT IFS IS INCORRECT, SUBMIT EHN TO CORRECT  
STATUS
```

The message below illustrates a positive response to a ZI inquiry that the III modified to include the IFFS status for each III pointer:

```
9L01HEADERXXXX01234  
DCFBIWAA2  
IDENTIFICATION SEGMENT III RECORD OF FBI/9005500 2013/01/28  
HARRY,TOM DICK M W IL DOB/19550920 HGT/601 WGT/190  
EYE/BLU HAI/BRO SMT/TAT L ARM SOC/352772056 FPC/POPMCI18171615141312  
ADDITIONAL IDENTIFIERS -  
DOB/19550511  
AKA/RICHARDS,THOMAS HAROLD HARRY,TOM D TESTING,MULTISTATE III  
AKA/QTEST,EUGENE D  
DLU/201220204 DRE/20091028  
III FLAGS/C8  
WY16752(19900103)(IFS/X) NY5015487N(19891031)(IFS/X)  
US**092055(19891031)(IFS/X) AK00999664(19910806)(IFS/X)  
BASED ON FBI NUMBER ONLY  
THIS RECORD CAN BE USED FOR ADMINISTRATIVE PURPOSES ONLY AND CANNOT BE  
DISSEMINATED FOR ANY OTHER PURPOSE.  
END
```

An accept message sent in response to the MRS modification message includes the IFFS status of the record. The IFFS status displays on the last line of the MRS modification accept message.

```
KL01HEADER11111011212  
WAWSP0000  
ACCEPT SID/WA232345 FOR FBI/9045000  
III RECORD IS SINGLE-STATE  
IFS/X
```

7.1.6 IFFS PARTICIPATION STANDARDS

Originally, participation in the IFFS Program was voluntary for states that had the technical capability to set and maintain IFFS flags attached to III state SID pointers and no other participation standards were required. In June 2015, the CJIS Advisory Process Board (APB) recommended that the CJIS Division adopt standards for state agencies to participate in the IFFS Program. The program is still voluntary, but participating states must agree to the standards to maintain the integrity and accuracy of the IFFS Program. If state agencies do not agree to these standards, the CJIS Division's staff will not enroll the agencies in the IFFS Program. The following participation standards were adopted:

1. States may choose to opt in or out of participating in the IFFS Program. If opting out of participation initially, the state must ensure that all flags are set to note that the IFFS status is “unknown” at this point.

If a state chooses to opt in, it may choose either a “day-one forward” approach to set and maintain the IFFS flags, or it may choose a time from when the records will be reviewed and the IFFS flags set. Otherwise, the IFFS flag will be “X” until modified.

If a state opts out of the program after a period of participation, any flags set during participation will remain, but a means will be in place for the III staff at the CJIS Division to modify an IFFS flag from a “D” to an “X” once no proven federal disqualifiers appear on the criminal history record.

2. An IFFS Program participant shall verify accuracy of the IFFS flags via the III Synchronization process.
3. An IFFS Program participant shall ensure IFFS flags are set and maintained in accordance with 18 U.S.C. § 922 (g) and (n), as well as other applicable federal laws.
4. Participants shall accurately set and maintain the IFFS flags in accordance with maintenance processes currently available via the III/NFF program participation (Enter Supplemental Identifier(s) Message Key [MKE], III Disposition MKE, Machine Readable Data).
5. During the III synchronization, participants shall ensure the state maintained record reflects the same IFFS Flag status in order to maintain consistency and accuracy.
6. States will use only federal prohibitors to set the IFFS flag as “disqualified,” not state prohibitors. If a state agency sets an IFFS flag is set to a “D,” the state agency must have federally disqualifying information on the record.

7. Once a court disposition, and/or subsequent post-conviction data, is posted to a record, the state agency should correctly update the corresponding IFFS flag in the III simultaneously.
8. States will ensure that IFFS flags are entered on the record are available via the III.
9. The CJIS Audit Unit staff will review standards of IFFS flags for participating states during the regularly scheduled III audit and report such findings as necessary to the state agency.

7.1.7 III AUDIT (SYNCHRONIZATION) RECORD LAYOUT

The III requires states to conduct biannual audits of its III records via a III synchronization. The FBI provides an electronic copy of the state's data in the III and its current III status. The state agency must compare pertinent information against the state's records to identify discrepancies. An IFFS status flag (alphabetic character D or X) is designated in position 84 in the record layout for III audit records. III/NFF states that do not participate in the IFFS flagging program may ignore this position. The alphabetic character D in position 84 indicates that the subject of the record includes a firearm disqualification, and X denotes that the status of the record is unknown. If the IFFS participating state detects a discrepancy in the IFFS flag, the state must forward an EHN update message to modify the flag. Detailed information regarding the III synchronization process is in [Appendix S](#) of this manual.

SECTION 7.2—NATIONAL SEX OFFENDER REGISTRY NOTICES

7.2.1 INTRODUCTION

The National Sex Offender Registry (NSOR) data contained in an FBI Identity History Summary (IdHS) is obtained from the NSOR within the National Crime Information Center (NCIC). When all record information pertaining to a subject is provided by a III state(s), the FBI's CJIS Division will respond to an inquiry with an FBI IdHS containing only the NSOR information. The addition of the NSOR data to a single-source record will change the record status to multi-source. The state of record will receive a \$.A.MSO (Multi-Source Offender Status) unsolicited message to change the status of its record.

7.2.2 QH INQUIRY RESPONSE FOR A REGISTERED SEXUAL OFFENDER

When a subject is identified as a registered sexual offender, a notice providing that information will appear in the QH inquiry response prior to the identification information. The following example shows a III response from a QH inquiry message when the list of candidates contains an individual registered in the NSOR.

Example:

```
2L01HEADERXXXX01234.QH.DCFBIWA10.NAM/DUCK, DONALD
C.SEX/M.RAC/U.DOB/19681230.PUR/C
3L01HEADERXXXX
DCFBIWA10
THIS NCIC INTERSTATE IDENTIFICATION INDEX MULTIPLE RESPONSE IS THE RESULT OF
YOUR INQUIRY ON NAM/DUCK, DONALD C SEX/M RAC/U DOB/19681230 PUR/C

                *****NOTICE*****
                SUBJECT OF RECORD IS A REGISTERED SEXUAL OFFENDER

NAME                FBI NO.                INQUIRY DATE
DUCK, DONALD C.    9000001                2014/01/23

SEX  RACE  BIRTH DATE  HEIGHT  WEIGHT  EYES  HAIR  BIRTH PLACE  PHOTO
M    W    1968/12/30    505     150    BLU   BLK   CALIFORNIA  N

FINGERPRINT CLASS      PATTERN CLASS

ALIAS NAMES
DUCK, D D              DUCK, DAFFY D
DUCK, DONALD CEE

SCARS-MARKS-TATTOOS    SOCIAL SECURITY
SC R ARM                123-45-6789

IDENTIFICATION DATA UPDATED 2009/11/18
```

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

ILLINOIS - STATE ID/IL00000210
FBI - FBI/9000001

END - 1ST NCIC III RECORD FOR MULTIPLE RESPONSE

NAME	FBI NO.	INQUIRY DATE
DUCK, DAFFY	9000002	2014/01/23

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1969/11/30	505	150	BLK	BLK	CALIFORNIA	N

FINGERPRINT CLASS PATTERN CLASS

ALIAS NAMES

DUCK, DAFFY D DUCK, DAF D
DUCK, DONALD DEE

SCARS-MARKS-TATTOOS SOCIAL SECURITY
SC F ARM 123-00-6789

IDENTIFICATION DATA UPDATED 2010/12/01

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:

ILLINOIS - STATE ID/IL33000209
FBI - FBI/9000002

END - LAST NCIC III RECORD FOR MULTIPLE RESPONSE

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION INDEX BY USING THE APPROPRIATE NCIC TRANSACTION

END

7.2.3 QR RECORD REQUEST RESPONSE FOR A REGISTERED SEXUAL OFFENDER

The following example shows a III response from a QR record request message showing the FBI IdHS of a registered sexual offender. Registration information presented in the FBI IdHS includes the name under which the subject registered, the registering agency's name and ORI number, the registering agency's case number, the date of registration, the date the registration expires, and the NCIC (NIC) number. The expiration date for individuals who are required to register for life will be NONEXP (nonexpiring).

Example:

CR.WVFBINF00
04:23 01/30/2014 00051
04:23 01/30/2014 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
***** CRIMINAL HISTORY RECORD *****
Data As Of 2014-01-30
***** INTRODUCTION *****
This rap sheet was produced in response to the following request:
FBI Number 9039000
State Id Number NY00676323 (NY)
Social Security Number
Date of Birth 1968-08-22
Driver's License Number
Miscellaneous Number
Request Id 5678901234
Purpose Code C
Attention SGT SMITH
The information in this rap sheet is subject to the following caveats:
This record is based only on the FBI Number in your request-9039000.
Because additions or deletions may be made at any time, a new copy should be
requested when needed for subsequent use. (US; 2014-01-30)
All arrest entries contained in this FBI record are based on fingerprint
comparisons and pertain to the same individual. (US; 2014-01-30)
The use of this record is regulated by law. It is provided for official use
only and may be used only for the purpose requested. (US; 2014-01-30)
***** IDENTIFICATION *****
Subject Name(s)
KILLER, COPY CAT
KILLER, CC (AKA)
KIL, COPY (AKA)
KILLER, CAT (AKA)
Subject Description
FBI No. State Id Number DOC Number
9039000 NY676323
Social Security Number Driver's License Number
234567890
Miscellaneous Numbers
3217 Alien Registration Unknown
3218 Marine Corps Serial Unknown
Sex Race Skin Tone
Female Black Bro
Height Weight Date of Birth
5'05" 140 Pounds 1968-08-22
Hair Color Eye Color Fingerprint Pattern
Brown (1990-12-06) Brown (1990-12-06)
Scars, Marks, and Tattoos
Code Description, Comments, and Images

NCIC	SC L KNEE; SCAR ON LEFT KNEE (WVFBINF00)	
Blood Type	Medical Condition	
Place of Birth	Citizenship	Ethnicity
TX	US	
Marital Status	Religion	
Employment		
Dog Catcher		
Residence		
Fingerprint Images		
Palmprint Images		
Photo Images		
Type		
Other	Arresting agency has photo associated with arrest date of 1997/07/11 (NY0303000)	

DNA Data

Caution Information

REGISTERED SEX OFFENDER POLICE DEPARTMENT NEW YORK (NY0303000)
-2000-01-25
-AGENCY CASE 333333 NIC/X12345678
-REGISTERED AS - DUCK, DONALD CEE
REGISTRY EXPIRATION - NONEXP

***** CRIMINAL HISTORY *****

***** INDEX OF AGENCIES *****

Agency FBI Clarksburg; WVFBINF00;
Mailing Address 1000 CUSTER HOLLOW RD
CLARKSBURG, WV 26306

Agency POLICE DEPARTMENT NEW YORK; NY0303000
Mailing Address 227 Worthington Lane
New York City, NY 66604

Agency Kentucky State Police; KYKSP0000
Mailing Address 664 Obine Avenue
Lexington, KY 34501

* * * END OF RECORD * * *

For more details regarding a particular offender, an inquiring agency may use the Nlets or other means to contact the registering agency identified in the FBI IdHS.

7.2.4 RECORD STATUS (\$.A.MSO AND \$.A.SSO UNSOLICITED MESSAGES)

The addition of an NSOR notice to a single-source record changes the record status to multi-source. When this happens, the III will transmit a \$.A.MSO unsolicited message to the state that supports the record. Likewise, when the deletion of sexual offender information from the III causes the status of the record to change from multi-source to single-source, the III will transmit

a \$.A.SSO (Single-Source Offender Status) unsolicited message to the state supporting the record.

SECTION 7.3—WANTED NOTICES

7.3.1 INTRODUCTION

When the apprehension of an individual is desired, FBI field offices, authorized law enforcement, and military agencies may enter wanted notices in the Wanted Person File (WPF) of the NCIC. The agency entering the wanted notice is essentially requesting the FBI's CJIS Division staff to notify them when the individual is apprehended or when it receives other pertinent information about that individual.

When an agency enters a FBI UCN in the NCIC's WPF, select data from the subject's wanted notice will append to the criminal history record in the III. As a result, when a record request is performed on the subject, the wanted data will display on the FBI IdHS response from the FBI's CJIS Division. Agencies may enter various types of wanted notices, including local, state, and federal notices in the WPF; the data fields in these notices vary, but the basic information is the same. Each WPF notice contains an NCIC number (NIC number) that is included in the wanted data appended to the III and displayed in the FBI Identification Record. Record recipients may use the NIC number to query the WPF to obtain the complete NCIC WPF entry.

When state-maintained III records contain data on a wanted subject, the state will respond to requesters with the criminal history portion of the record, and the FBI's CJIS Division will respond with the wanted data via the FBI IdHS.

7.3.2 FBI AND LOCAL WANTED MESSAGES FORMAT

The following examples show FBI and local wanted messages transmitted online via the III when an agency requests record information using an FBI UCN:

7.3.2.1 EXAMPLE OF FBI WANT

```
CR.WVFBINF00
04:23 01/30/2014 00051
04:23 01/30/2014 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
***** CRIMINAL HISTORY RECORD *****
Data As Of          2014-01-30
***** INTRODUCTION *****
This rap sheet was produced in response to the following request:
FBI Number          9039000
State Id Number     676323
Social Security Number
Date of Birth       1968-08-22
```

Driver's License Number

Miscellaneous Number

Request Id 5678901234

Purpose Code C

Attention SGT SMITH

The information in this rap sheet is subject to the following caveats:

This record is based only on the FBI Number in your request-9039000.

Because additions or deletions may be made at any time, a new copy should be requested when needed for subsequent use. (US; 2014-01-30)

All arrest entries contained in this FBI record are based on Fingerprint comparisons and pertain to the same individual. (US; 2014-01-30)

The use of this record is regulated by law. It is provided for official use only and may be used only for the purpose requested. (US; 2014-01-30)

***** IDENTIFICATION *****

Subject Name(s)

KILLER, COPY CAT

KILLER, CC (AKA)

KIL, COPY (AKA)

KILLER, CAT (AKA)

Subject Description

FBI Number State Id Number DOC Number

9039000 676323

Social Security Number Driver's License Number

234567890

Miscellaneous Numbers

3217 Alien Registration Unknown

3218 Marine Corps Serial Unknown

Sex Race Skin Tone

Female Black Bro

Height Weight Date of Birth

5'05" 140 Pounds 1968-08-22

Hair Color Eye Color Fingerprint Pattern

Brown (1989-12-10) Brown (1989-12-10)

Scars, Marks, and Tattoos

Code Description, Comments, and Images

NCIC SC L KNEE; SCAR ON LEFT KNEE (WVFBINF00)

NCIC SC HEAD; SCAR ON HEAD (WVFBINF00)

Blood Type Medical Condition

Place of Birth Citizenship Ethnicity

TX US

Marital Status Religion

Employment

Dog Catcher

Residence

Fingerprint Images

Palmprint Images

Photo Images

Type

Other Arresting agency has photo associated with
arrest date of 1997/07/11 (DCFBIIIIZ)

DNA Data

Caution Information

Caution WANTED - CONFIRM THAT WANT IS STILL OUTSTANDING. AGENCY-FBI
CLEVELAND (OHFBICV00) WANTED-NCIC #W048400000 MULDER, FOX X CONSPIRACY
TO OBSTRUCT ALIENS CASE#X234789XX DATE OF WARRANT 01/05/2008 NOTIFY
OHFBICV00 FBI CLEVELAND OHIO(FBI;2008-01-05)

***** CRIMINAL HISTORY *****

***** INDEX OF AGENCIES *****

Agency FBI Clarksburg; WVFBINF00;
Mailing Address 1000 CUSTER HOLLOW RD
CLARKSBURG, WV 26306

Agency FBI Cleveland; OHFBICV00
Mailing Address 123 Willow Blvd.
Cleveland, OH 14523

* * * END OF RECORD * * *

7.3.2.2 EXAMPLE OF LOCAL AGENCY WANT

CR.WVFBINF00
04:23 01/30/2014 00051
04:23 01/30/2014 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
***** CRIMINAL HISTORY RECORD *****

Data As Of 2014-01-30
***** INTRODUCTION *****

This rap sheet was produced in response to the following request:
FBI Number 9039000
State Id Number 676323
Social Security Number
Date of Birth 1968-08-22
Driver's License Number
Miscellaneous Number
Request Id 5678901234
Purpose Code C
Attention SGT SMITH

The information in this rap sheet is subject to the following caveats:
This record is based only on the FBI Number in your request-9039000.
Because additions or deletions may be made at any time, a new copy
should be requested when needed for subsequent use. (US; 2014-01-30)
All arrest entries contained in this FBI record are based on
fingerprint comparisons and pertain to the same individual.

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The use of this record is regulated by law. It is provided for official use only and may be used only for the purpose requested. (US; 2014-01-30)

***** IDENTIFICATION *****

Subject Name(s)

KILLER, COPY CAT

KILLER, CC (AKA)

KIL, COPY (AKA)

KILLER, CAT (AKA)

Subject Description

FBI Number

State Id Number

DOC Number

9039000

676323

Social Security Number

Driver's License Number

234567890

Miscellaneous Numbers

3217

Alien Registration

Unknown

3218

Marine Corps Serial

Unknown

Sex

Race

Skin Tone

Female

Black

Bro

Height

Weight

Date of Birth

5'05"

140 Pounds

1968-08-22

Hair Color

Eye Color

Fingerprint Pattern

Brown (1996-09-17)

Brown (1996-09-17)

Scars, Marks, and Tattoos

Blood Type

Medical Condition

Place of Birth

Citizenship

Ethnicity

TX

US

Marital Status

Religion

Employment

Dog Catcher

Residence

Fingerprint Images

Palmprint Images

Photo Images

Type

Other

Arresting agency has photo associated with arrest date of 1996/09/16 (DCFBIIIIIZ)

DNA Data

Caution Information

Caution WANTED - CONFIRM THAT WANT IS STILL OUTSTANDING. AGENCY-SHERIFF'S OFFICE CARLISLE (PAPS00223) WANTED-NCIC #W044464852 KILLER, COPY CAT ALIEN SMUGGLING CASE #XXXXXX23 DATE OF WARRANT 12/25/2009 NOTIFY PAPS00223 SHERIFF'S OFFICE CARLISLE PA (PA; 2009-12-25)

***** CRIMINAL HISTORY *****

***** INDEX OF AGENCIES *****

Agency

FBI Clarksburg; WVFBINF00;

Mailing Address

1000 CUSTER HOLLOW RD

SECTION 7.4—FLASH NOTICES**7.4.1 INTRODUCTION**

Agencies establish flash notices based on requests from county, state, and federal probation and parole authorities; pretrial diversion coordinators; and other criminal justice agencies. These authorities submit a flash request form to the FBI's CJIS Division staff when the organizations want to be informed of any new criminal activity while the subject is on probation or parole.

Upon receipt of a flash request form, the FBI's CJIS Division will ensure that the FBI UCN on the flash request is the same as the FBI UCN on the subject's criminal history record and will add the flash notice to the appropriate arrest event on the subject's fingerprint-supported criminal history record. Flash request forms are available from the state agency. When staff at the CJIS Division receive and process a criminal fingerprint submission that is identified with an FBI record containing a flash notice, Division staff send a hard copy of the FBI IdHS to the flash agency.

7.4.2 EXAMPLE OF FLASH NOTICE

The following record displays a flash notice (bolded) as it appears in an FBI IdHS when requested via the III. Flash notices are displayed as part of the arrests on FBI Identification Records.

```
CR.WVFBINF00
04:23 01/30/2014 00051
04:23 01/30/2014 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
***** CRIMINAL HISTORY RECORD *****
Data As Of          2014-01-30
***** INTRODUCTION *****
This rap sheet was produced in response to the following request:
FBI Number          9000001
State Id Number     676323
Social Security Number
Date of Birth       1959-10-11
Driver's License Number
Miscellaneous Number
Request Id          5678901234
Purpose Code        C
Attention           SGT SMITH
```

The information in this rap sheet is subject to the following caveats:
This record is based only on the FBI Number in your request-9000001.

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III/NFF MANUAL

Chapter 7—Special Flags and Record Cycles

Because additions or deletions may be made at any time, a new copy should be requested when needed for subsequent use. (US; 2014-01-30)

All arrest entries contained in this FBI record are based on fingerprint comparisons and pertain to the same individual.(US; 2014-01-30)

The use of this record is regulated by law. It is provided for official use only and may be used only for the purpose requested. (US; 2014-01-30)

***** IDENTIFICATION *****

Subject Name(s)

MULDER, FOX SPOOKY

MULDER, FOX (AKA)

Subject Description

FBI Number State Id Number DOC Number

9000001 676323

Social Security Number Driver's License Number

234567890

Miscellaneous Numbers

3217 Alien Registration Unknown

Sex Race Skin Tone

Female Black Bro

Height Weight Date of Birth

5'05" 140 Pounds 1959-10-11

Hair Color Eye Color Fingerprint Pattern

Brown (1999-01-10) Brown (1999-01-10)

Scars, Marks, and Tattoos

Blood Type Medical Condition

Place of Birth Citizenship Ethnicity

CA US

Marital Status Religion

Employment

Dog Catcher

Residence

Fingerprint Images

Palmprint Images

Photo Images

Type

UNKNOWN Arresting agency has photo associated with

arrest date of 1999/01/09 (NYUSM0900)

DNA Data

Caution Information

Caution

***** CRIMINAL HISTORY *****

==== Cycle 001 =====

Tracking Number 000000003

Earliest Event Date 1999-01-09

Arrest Date 1999-01-09

Arrest Case Number A00000000

Arresting Agency NYUSM0900

Subject's Name MULDER, FOX SPOOKY

Offender Id Number
 Arrest Type ADULT
 Charge
 Charge Number 1
 Charge Sequence 1
 Charge Tracking Number 000000001
 Charge Case Number
 Agency NYUSM0900
 Offense Date 1999-01-09
 Charge Description AIDING, ABETTING, AND HARBORING ALIENS
 Statute 3331
 NCIC Offense Code
 State Offense Code 02212
 Counts 1
 Severity Unknown
 Inchoate Charge
 Enhancing Factor
 Reducing Factor
 Disposition Unknown
 Comment

 Sentencing (Cycle 001)
 Sentencing Agency
 Court Case Number
 Charge Number 1
 Charge Tracking Number 630
 Charge Sequence
 Sentence 3 Months Imprisonment, 2 Years Probation

Corrections (Cycle 001)
Corrections Agency US Probation
Correction Action STATUS—SUPERVISED RELEASE
Release Date 2001-04-09

***** INDEX OF AGENCIES *****
 Agency FBI Clarksburg; WVFBNF00;
 Mailing Address 1000 CUSTER HOLLOW RD
 CLARKSBURG, WV 26306

Agency New York USM Office; NYUSM0900
 Mailing Address 777 Spring Blvd.
 New York City, NY 88806

Agency US Probation New York; NY030017G
 Mailing Address 6 Park Street
 New York, NY 88805

* * * END OF RECORD * * *

SECTION 7.5—III SEALING PROGRAM

7.5.1 INTRODUCTION

The III Sealing Program is available to any III state with statutory authority or requirement to seal an entire state-maintained record at the national level. A state may be required to seal a record because of a court order or state law. Dissemination of information in sealed records is limited to a specific purpose code(s), as established by the state. If a state agency wants to seal part of a record (and not the entire record itself), agency staff should contact the CJIS Division's staff by e-mail at <identity@ic.fbi.gov>.

A III sealing program participant enters an EHN maintenance message to seal state-maintained III records.

Prior to sending EHN messages to seal criminal history records for a particular purpose, the III state must work with the FBI's CJIS Division to coordinate participation in the III sealing program and to schedule III software changes to allow the state to electronically seal records. To do this, the III state bureau chief should either mail a letter to CJIS Division staff or contact the staff by e-mail at <fbi-iii@leo.gov>.

In 1993, the FBI changed the III to give National Fingerprint File (NFF) states the ability to seal state-maintained records in the III. This allowed NFF states to seal records at the national level and limit dissemination under specific purpose codes as established by the NFF states.

In July 2008, the FBI expanded the III Sealing Program to any III state with statutory authorization or requirement to seal an entire state-maintained III record at the national level, thus limiting the record's dissemination under a specific purpose code(s), as established by the III state.

7.5.2 SYSTEM DESIGN

The III Sealing Program system design sets flags in the III when a state's entire criminal history record is not available for dissemination for a specific purpose code(s). This design incorporates two flags into the system. The FBI and the III Sealing Program participants use the flags to maintain the status of the records; however, the flags are not visible to the requesting states. The seal flags are:

- Y-Indicates the state's criminal history record is sealed
- N-Indicates the state's criminal history record is unsealed

The III Sealing Program participant sets a seal value of Y whenever a state has a criminal history record that is unavailable for dissemination for a specific purpose code(s). The III Sealing Program participant sets a seal value of N whenever a state maintains a criminal history record that may be disseminated for all purpose codes. The Seal Field (SEL) will be followed by a Y or an N.

7.5.3 RECORD RESPONSE PROCESSING

Responses Resulting from Fingerprint Submissions

When a current fingerprint submission matches a state-maintained record, the FBI responds with the state record if it is for an authorized purpose code supported by the state. When a fingerprint submission is identified with a record that contains a seal flag of Y, the FBI's CJIS Division will not respond for the exempted sealing purpose. If a fingerprint submission identifies to a single-source record, the FBI's CJIS Division will send the fingerprint contributor a NO RECORD (nonident) response. For multi-source records, the FBI's CJIS Division will respond with the FBI IdHS containing all unsealed records as well as any unsealed state record(s).

The FBI's CJIS Division uses states' criminal history records which have a state-pointer instead of FBI IdHS to process fingerprint submissions, if authorized for the specific purpose code. The FBI's CJIS Division uses the states' records only for the purposes for which the FBI is authorized to disseminate the records according to the states' sealing categories. Therefore, when a fingerprint submission is identified with a state record that contains a seal flag of Y, the FBI's CJIS Division will not send a \$.A.CHR (Criminal History Request Notification) criminal history record request message to the state for the exempted sealing purpose. For single-source records, the FBI's CJIS Division will send the fingerprint contributor a NO RECORD (nonidentification) response. For multi-source records, the FBI's CJIS Division will send a \$.A.CHR message to all holders of the record other than the sealing state, and the contributor will receive responses from those sources and the FBI IdHS. The FBI's CJIS Division will not send a \$.A.CHR message to the sealing state that will not provide its record for the identified purpose.

Terminal Inquiries

When an authorized agency forwards a QH name inquiry to the III for a record that contains an SEL flag of Y and the purpose of the inquiry is for an exempted sealing purpose, the III will not inform the inquirer of the existence of a sealed record. For single-source records, the III will send the inquirer a NO IDENTIFIABLE RECORD ON FILE response. For multi-source records, the III will only advise the inquirer of the existence of the record from sources other than the sealing state.

Example:

```
2L0112345XXXXHEADER.QH.GA00844902.FBI/9004000.PUR/I.ATN/TEST
```

Response:

```
NL0112345XXXXHEADER  
GA00844902  
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III) FOR  
FBI/9004000.PUR/I
```

When an authorized agency forwards a QR record request to the III for a record that contains a seal flag and the purpose of the request is for an exempted purpose, the III will not send a \$.A.CHR message to the sealing state. For single-source records, the III will send a NO IDENTIFIABLE RECORD ON FILE response. For multi-source records, the III will send a \$.A.CHR message to all sources of the record other than the sealing state(s). The requester will receive a record from only those sources.

7.5.4 INITIAL SETTING AND MAINTENANCE OF SEAL FLAGS

Under the III Sealing Program, the FBI's CJIS Division sets the SEL flag value to N to indicate that the records in the III (newly established or updated) are available for dissemination. The sealing state must modify the seal flag when the record is not available for dissemination.

The SIB must make programming changes to allow for use of the EHN message to set sealing flags (at a minimum, the addition of the SEL message field code to the EHN maintenance message format). To initially set SEL flags in the III to restrict the dissemination of a sealed record, the state may submit a computer medium of EHN messages. States anticipating becoming a sealing participant should notify the III staff at least three months in advance to advise the FBI's CJIS Division for which purpose codes the sealed records can be disseminated. The FBI's CJIS Division must modify a software code table to identify a state as a participant and the purpose codes for which the sealed records may be disseminated. If a state attempts online sealing transactions before the CJIS Division staff make the software change, the SIB will receive the following single line reject message:

```
``REJECT ORIGINATING AGENCY IS NOT A SEAL PARTICIPANT``
```

After the III sets the initial flags, the state may set or delete SEL flags with online EHN messages. A III state will be allowed to set a flag in any record that contains its SID; however, in each case, the III state should ensure that the entire state record, not just part of it, is sealed. Agencies may use the EHN message to seal entire records; agencies wishing to seal parts of records must contact the CJIS Division's staff by e-mail at <identity@ic.fbi.gov>. The III state must use an EHN update transaction message to set the SEL flag in its record. The EHN message must contain a header, message key (EHN), state bureau Originating Agency Identifier, State Identification Number (SID), FBI UCN, and SEL/Y.

The SIB must use the following EHN message format to set and delete SEL status flags. An example of the FBI's response to this type of message is also included.

Example:

```
2L01HEADERXXXX01224.EHN.GAGBI0051.GA00844902.9004000.SEL/Y
```

Response:

```
KL01HEADERXXXX01224
GAGBI0051
ACCEPT EHN FOR SID/GA00844902
```

After the III state sets the SEL flag, the state may delete the flag by using another EHN message. The state must use an EHN message and change the SEL/Y to SEL/N to cancel a flag using the above example.

7.5.5 ADDITIONAL SYSTEM ATTRIBUTES**7.5.5.1 ZI Responses**

Under the III Sealing Program, the III will display a seal value (SEL/) of Y or N after the IFS flag in positive ZI responses for each sealed or unsealed record. An example of this message follows:

```
9L01HEADERXXXX01234
DCFBIWAA2
IDENTIFICATION SEGMENT III RECORD OF FBI/9004000 2014/09/10
TESTRECORD,GIACOMO ALONZO R M B MI DOB/19350228 HGT/507 WGT/140
EYE/BLK HAI/BLK
SMT/SC R ARM SOC/045508551 FPC/CODIPMAA151211171913
ADDITIONAL IDENTIFIERS
DOB/19350228
SOC/234523788
SMT/SC L ARM TAT UL ARM
AKA/
DLU/19950307 DRE/19921222
III FLAGS/C40
GA00844902 (19921222) (IFS/X) (SEL/Y)
```

BASED ON FBI NUMBER ONLY

THIS RECORD CAN BE USED FOR ADMINISTRATIVE PURPOSES ONLY AND CANNOT BE DISSEMINATED FOR ANY OTHER PURPOSE.
END

7.5.5.2 Consolidations and Sealed Records

The III \$.A.CON interface message and the accept message are modified to include the SEL Field when these messages are issued in response to an MRS (Modify Record SID) message.

If the SEL flag is active in both records being consolidated, the SEL flag will remain active. However, if a corresponding FBI-maintained pointer exists in the record being consolidated and the SEL flag is active in only one of the records, the SEL flag will

revert to inactive (N), and the III will add a caveat to the \$.A.CON message. The caveat will advise the state to review the consolidated record to determine the correct status flag. If the record should remain sealed, the state must transmit an EHN message via the III to set the SEL flag to a Y status.

Consolidation Message with Sealing Caveat:

```
$.A.CON.SID/FL000013.FBI/9093399.NCIC III RECORD CONSOLIDATION
CANCEL.SID/FL0000235.FBI/9000600.SEAL FLAG DELETED. IF A REVIEW OF THE
CONSOLIDATED RECORD INDICATES THAT THE SEAL FLAG IS NECESSARY, SUBMIT
EHN TO SET SEALED FLAG
```

7.5.5.3 Assuming Control of a Sealed Record

When a state submits an MRS message to assume responsibility of a record in the III, the III will respond with an accept message. For those states participating in the III Sealing Program, the accept message will include the current SEL status for the record on the last line of the accept message.

MRS Accept Message to Sealing Participant:

```
KL01HEADER111101212
FL0370100
ACCEPT SID/FL123456 FOR FBI/9004500
III RECORD IS SINGLE-STATE
SEL/N
```

7.5.5.4 Current Information Posted to a Sealed Record

When a current arrest fingerprint submission from the sealing state matches a sealed record or when a want is posted to a sealed record, the III will send the \$.A.SRN (Sealed Record Notification) unsolicited message to notify the sealing state of the current activity and request the state to verify the seal status.

Example:

```
$.A.SRN.SID/FL0000013.FBI/9093399.RECENT ACTIVITY ON SEALED RECORD.
PLEASE VERIFY SEAL STATUS
```

7.5.5.5 III Synchronization Record Layout

III participating states must conduct biannual audits of their III records. The FBI provides an electronic copy of the states' data in the III and current III status. The III synchronization medium includes the SEL status flag as one of the data elements for which it checks for discrepancies for states participating in the III Sealing Program. The

header title for this position will be SEL. The SEL status flag is designated in position 86 of the III synchronization record layout. The alphabetic character Y is placed in this position if any part of the record is sealed or an alphabetic character N is placed in this position if the record is not sealed. If the sealing state detects a discrepancy in the SEL status flag, it must forward an EHN update message to the FBI modifying the flag accordingly. For those states not participating in the III Sealing Program, this position should be ignored. More detailed information regarding the III synchronization can be found in [Appendix S](#) of this manual.

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CHAPTER 8—NATIONAL FINGERPRINT FILE PARTICIPATION REQUIREMENTS

SECTION 8.1—INTRODUCTION

The following chapters in this component of the *III/NFF Operational and Technical Manual* focus on the National Fingerprint File (NFF) Program, including participation requirements, operational and processing details, and audit information.

This chapter addresses the state *NFF Qualification Requirements (Quals)*, which are maintained in the official documentation of the Compact Council. (When revisions occur, the FBI's Compact Officer will notify the NFF participating states.) States interested in participating in the NFF Program should contact the FBI's Compact Officer for the most current listing of the *NFF Quals*.

As presented previously in [Chapter 1](#), the NFF (when fully implemented) will be a decentralized system that will replace the FBI's record keeping responsibility for state offenders by making state repositories primarily responsible for record dissemination and maintenance. An NFF state submits a single fingerprint image for each offender to the FBI to identify the offender at the national level. The state uses arrest fingerprint images and related disposition and expungement documents for subsequent arrests to update its own records; the state will forward only those fingerprint images that it is unable to identify to the FBI. State repositories will become the only sources of state criminal history records for these arrests, for both criminal and noncriminal justice purposes.

A brief history and an overview of the NFF Program are provided in [Chapter 1](#) of this manual. To help the user understand both the Interstate Identification Index (III) and NFF Programs, this manual contains a glossary of terms, an index of acronyms and codes, and various appendices. (A list of appendices is available in [Appendix 1](#).) In addition to these resources, NFF users may contact members of the Compact team at the FBI's CJIS Division at 304-625-2000 for assistance.

NOTE: Should Section 28 of the *Code of Federal Regulations (CFR)* be amended to permit the FBI to maintain all submitted offenses, this manual will be revised accordingly. Section 28 of the CFR outlines numerous items related to criminal history record information. More specifically, Section 28, CFR, currently states that the FBI is permitted to maintain records only for criterion (or serious) offenses. If that changes and the FBI is permitted to maintain records for all offenses, the Division staff will notify the State Identification Bureaus of that change. More information about criterion offenses is located in [Chapter 13, Section 13.1](#), of this manual. In addition, NFF states have already fully implemented the III; therefore, this portion of the *III Manual* includes the III messages that pertain to NFF participants.

SECTION 8.2—STATE NFF QUALIFICATION REQUIREMENTS

In order to participate in the NFF, a state must first be capable of III participation. A state which joins the NFF subsequent to the enactment of the National Crime Prevention and Privacy Compact Act of 1998 must be a signatory to the Compact. In November 2010, the National Crime Prevention and Privacy Compact Council (Council) approved a motion to allow a National Crime Prevention and Privacy Compact signatory state to incrementally join the NFF Program. Information on phased-in NFF participation is available in the Phased-In Participation in the NFF Program section of this chapter.

The following *NFF Quals* are written to include and augment the minimum standards for III participation.

I. Fingerprint Identification Matters

- A. An NFF state shall maintain a central criminal history record repository with full technical fingerprint search capability. An NFF state shall perform technical searches¹ on both applicant and criminal fingerprint impressions prior to their submission to the FBI. When an individual is identified at the state level as having records previously indexed in the National Identification Index, the NFF state shall notify the contributor of the search results and provide the criminal history record information if requested on the fingerprint submission. Note: If an NFF state outsources the national applicant fingerprint-based background check process for a particular industry, the NFF state shall only conduct a state check; the national applicant fingerprint-based background check and dissemination of the results is the responsibility of the contractor.

- B. An NFF state shall collect and maintain any appropriate criminal history record information, including dispositions, sealing orders, and expungements, relevant to each offender and the records maintained by that state.

- C. An NFF state's central criminal history record repository shall serve as the sole conduit for the transmission of non-Federal applicant² and arrest fingerprint impressions³ for criterion offenses⁴ within the state to the FBI (single source submission).

¹A technical search may consist of a name search with candidate verification by fingerprint comparison; short of that, a manual or AFIS search of the state master fingerprint file is required.

²A state may also at its discretion consent to process federal fingerprint submissions through the repository in which such request originated. See Compact Article V (c).

³Arrest fingerprint impressions may include a fingerprint submission that supports or is linked to an arrest event (i.e., includes corrections.)

⁴If 28 CFR is amended to permit the inclusion of all fingerprint-based arrests into the III System, these qualification requirements shall be amended accordingly.

- D. The total percentage of Next Generation Identification (NGI) system rejects (L0008) due to low image quality on criminal fingerprint submissions shall be less than or equal to 0.75% of the total criminal fingerprint submissions. The total percentage of service provider rejects (L0116, L0117, L0118) due to insufficient, indiscernible, erroneous or incomplete criminal fingerprint submission images shall be less than or equal to 0.50%.
- E. The total percentage of NGI system rejects (L0008) due to low image quality on civil fingerprint submissions shall be less than or equal to 5.00% of the total civil fingerprint submissions. The total percentage of service provider rejects (L0116, L0117, L0118) due to insufficient, indiscernible, erroneous or incomplete civil fingerprint submission images shall be less than or equal to 0.50%.
- F. An NFF state shall not forward criminal fingerprint impressions (other than Fingerprint Image Submission [FIS] transactions) nor related information for individuals identified at the state level as having records previously indexed in the National Identification Index as NFF records with the State Identification Number (SID). Errors resulting from forwarding fingerprint submissions for previously indexed NFF records shall be less than 2% of the total criminal fingerprint submissions.
- G. An NFF state participant shall continue submitting criminal fingerprint impressions for criterion offenses and related information for individuals for whom primary identification records were established by the FBI prior to the state's becoming an NFF participant and which are not identified by SIDs in the National Identification Index by the state or are FBI non-automated identification records. (i.e., the state has not taken responsibility for managing or controlling the III record)
- H. Criminal fingerprint impressions shall be forwarded to the FBI within two (2) weeks of receipt at the state central criminal history record repository.
- I. An NFF state's central criminal history record repository shall maintain the subject's fingerprint impressions, or copies thereof, to support each Indexed record and shall maintain fingerprint impressions, or copies thereof, supporting each arrest event in each such criminal history record.
- J. The criminal master fingerprint impressions maintained at the state central criminal history record repository shall include all ten fingers, noting amputation(s), scars, or missing fingers.
- K. Additional/(subsequent) criminal fingerprint impressions maintained at the state

central criminal history record repository to support individual arrest events may include less than all ten fingers.

- L. An NFF state shall submit to the FBI criminal fingerprint impressions containing a unique SID for each individual. The number of fingerprint submissions that contain non-unique SIDs shall be less than 0.25% of the total criminal fingerprint submissions.
- M. Missed identifications by the state's central criminal history record repository resulting in the issuance of multiple SIDs for the same individual shall be less than 2 % percent of total criminal fingerprint submissions.
- N. The state shall ensure that an SID is on each criminal fingerprint impression not identified at the state level and submitted to the FBI for establishment of an NFF record.
- N. In those instances when the applicant or criminal fingerprint submission includes a request for the rapsheet and/or the results of the search, an NFF state shall either receive and forward electronic messages concerning the result of FBI fingerprint impression processing to its fingerprint contributors or shall print and mail these results.⁵

II. Record Content and III Maintenance

- A. For each NFF record maintained, the state's central criminal history record repository shall contain all known fingerprint-based arrests, final dispositions and custody/supervision actions occurring in that state which are reported to the state central criminal history record repository pursuant to applicable federal or state law.
- B. An NFF state shall remove the SID from a III record when corresponding record data no longer exists at the state level.
- C. An NFF state shall conduct an audit of III record synchronization with the FBI at least twice a year to identify, analyze, and correct record discrepancies within 90 days of audit tape receipt from the FBI. An NFF state shall maintain the discrepancy reports resulting from the last two synchronization tapes.

⁵There are three options presently available for receiving responses for applicant processes. The state may utilize: the electronic unsolicited III message reporting the results of applicant fingerprint processing (\$.A.CFN, \$.A.CFR); the NGI Submission Results (SRE) response which provides the identification results as communicated over the CJIS Wide Area Network; or the NGI System Type of Transaction which generates a manual response to an electronic fingerprint submission (EMUF).

- D. Record completeness, accuracy, and timeliness shall be considered by an NFF state to be of primary importance and shall be maintained at the highest level possible.
- E. When a second and/or subsequent criterion criminal fingerprint submission is identified with an Indexed record by an NFF state, the state shall send an electronic Criminal Print Identified (CPI) message to the FBI no later than 24 hours after the arrest is posted within the state's central criminal history record system.
- F. An NFF state shall add supplemental identifiers to Indexed records when a second and/or subsequent criminal fingerprint impression is identified by the state and contains identifiers not previously recorded.
- G. Supplemental identifiers which shall be added to the National Identification Index⁶ include scars, marks, tattoos, dates of birth, Social Security numbers, miscellaneous numbers, and aliases, obtained after establishment of an offender's primary identification record by the FBI.
- H. An NFF state shall submit all criminal fingerprint impressions to the FBI for second and/or subsequent criterion offenses as FIS transactions.
- I. Required record file maintenance shall be conducted by NFF state personnel based upon receipt of unsolicited file maintenance messages from the FBI via the III interface. Unsolicited file maintenance messages may include advisories of state/FBI missed identifications or expungements of the state SID. The state shall conduct consolidations within two (2) business days of notification; other file maintenance shall be conducted within seven (7) business days.

III. Record Response

- A. An NFF state's automated criminal history record system shall have sufficient capability to provide a mean response time of 15 seconds.
- B. An NFF state shall respond within a mean of 15 seconds to III record requests via the International Justice and Public Safety Network (Nlets) with the record or an acknowledgment and a notice of when the record will be provided.
- C. When an NFF state's system cannot provide on-line record responses within ten (10) minutes, the state shall assign personnel as necessary to resolve record processing problems and to restore the system's capacity to provide timely on-line responses.

⁶Supplemental identifiers include all information submitted through an electronic supplemental identifier (\$A.EHN) message.

- D. NFF state record responses shall include literal translations of all alphabetic and/or numeric codes in order that the record responses can be readily understood.
- E. An NFF state shall not include in its III record response any out-of-state and/or Federal criminal history record information maintained in its files.
- F. An NFF state's central criminal history record repository shall provide its indexed criminal history records in response to all authorized requests made through the NFF and III for criminal justice purposes and, when based on positive identification,⁷ for noncriminal justice purposes as authorized by the Compact.
- G. In responding to a III record request for a noncriminal justice purpose, an NFF state shall provide the entire record it maintains on the subject, except for information that is sealed in accordance with the definition of "Sealed Record Information" set out in Art. I (21) of the Compact.

IV. Accountability

- A. In NFF states that have ratified the National Crime Prevention and Privacy Compact, the Compact Officer shall be responsible for ensuring compliance with these qualification requirements⁸.
- B. In the event a state ceases to participate in the NFF for any reason, the state shall reasonably assist the FBI in reconstructing any fingerprint and arrest/disposition record deficiencies that otherwise would have been submitted to the FBI during the state's NFF participation.
- C. An NFF state shall have written procedures requiring thorough testing of upgrades or modifications to its computer system(s) to detect software errors and/or related procedural problems, particularly on-line testing, of these changes to limit adverse effects to the NFF system operations. An NFF state shall demonstrate adherence to the procedures by documenting the test results in writing.

⁷Responses to III name searches are permitted under the Compact Council Fingerprint Submission Requirements Rule.

⁸This requirement is inherent in the Compact itself as stated in Article III (b)(1)(B) that the state Compact Officer shall ensure that Compact provisions and rules, procedures, and standards established by the Council under Article VI are complied with.

PHASED-IN PARTICIPATION IN THE NFF PROGRAM

At its September 2010 meeting, the Standards and Policy Committee discussed the current resource issues within many states and the potential benefits of a phased-in approach to National Fingerprint File (NFF) participation which may assist states in joining the program more expeditiously. In November 2010, the National Crime Prevention and Privacy Compact Council (Council) approved a motion to allow signatory state to incrementally join the NFF Program. There are four key components to NFF participation:

1. An NFF state must provide all its non-sealed records that are indexed in the Interstate Identification Index (III) System with a state identification number for all purpose codes and all types of record requests.
2. An NFF state conducts technical searches on all criminal fingerprints and forwards only the first arrest images to the Next Generation Identification (NGI) to establish a subject in the national file. The NFF state notifies the FBI's III System of second and/or subsequent arrests of a previously-indexed subject via the Criminal Print Ident (CPI) maintenance message.
3. An NFF state shall provide a III-indexed subject's second and/or subsequent arrest fingerprint images to the NGI via a Fingerprint Image Submission (FIS) Type of Transaction (TOT) for potential upgrades to the NGI.
4. Lastly, an NFF state must conduct technical searches on all applicant fingerprints and forward only those fingerprints not identified at the state level to the FBI's NGI for processing a national CHRI check. For those applicant fingerprints identified at the state, the NFF state provides its state record and obtains any other III-indexed CHRI via an III purpose code I criminal history request query. The NFF state appends the out of state CHRI to the state's record and forwards the state and national background check results to the authorized state fingerprint contributor.

The Council approved a phased-in approach as outlined below:

A. Phase 1 NFF participation

A state provides its III-indexed state-maintained records for all authorized purposes and for all types of inquiries. Additionally, the Phase 1 NFF state shall send a CAR TOT on the first arrest of a subject, which will be used to index the subject in the NFF. The Phase 1 NFF state shall send CPI messages to notify III of second and/or subsequent arrests of a state indexed III subject. The phase 1 NFF state is held to certain compliance rates in the State NFF Qualification Requirements. Phase 1 NFF participation accomplishes the main goal of the NFF Program, which is to get the state's more complete criminal history records to authorized requesting agencies for all authorized purposes and all types of requests.

B. Phase 2 NFF participation includes the Phase 1 requirements and either the applicant

processing requirements OR the FIS TOT requirement to send the second and/or subsequent criminal impressions for potential NGI upgrades.

- C. **Full NFF participation** includes all the components and reflects the entire current NFF Qualification Requirements, which are used by the CJIS Division during its triennial audits.

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CHAPTER 9—RECORD REQUEST PROCESSING FOR NFF STATES

SECTION 9.1—INTRODUCTION

Minor changes were made to the processing of Interstate Identification Index (III) record requests when the National Fingerprint File (NFF) Program was implemented. These changes required NFF participating states to respond to both online and hardcopy fingerprint processing record requests. More specifically, these changes involved NFF states' responses to state-maintained records. This chapter addresses the approved purpose codes for which NFF states must provide their records and the processing capabilities that the states must possess.

SECTION 9.2—RECORD PROCESSING BY NFF STATES

9.2.1 PURPOSE CODES USED IN THE NFF PROGRAM

States participating in the NFF Program must provide their III-indexed records for all approved purpose codes and any additional purpose codes that may be authorized for the NFF Program in the future. A complete list of purpose codes and their definitions are provided in [Chapter 3](#) of this manual. The current, approved purpose codes for the NFF Program and brief definitions are:

Purpose Code	Definition
C	Criminal Justice
D	Domestic Violence and Stalking
F	Weapons-Related Background Checks
I	Interstate-Approved Noncriminal Justice
J	Criminal Justice Employment
R	Departmental Order (DO) 556-73 (implemented in October 2008)
S	National Security
X	Exigent Procedures

When the FBI processes a tenprint submission that matches fingerprints in a record that is maintained totally or partially by an NFF state, the FBI sends a \$.A.CHR (Criminal History Request Notification) message to the state. The \$.A.CHR message includes the appropriate purpose code and the NGI Control Number (NCN) assigned to the tenprint submission during FBI processing. (The NCN appears in the Attention Field.) When the NFF state responds to the FBI's message, it must return the contents of the Attention Field so the NGI can match the NFF record with any additional criminal history information in the III or from another state. Before becoming an NFF state, the state must expand the Attention Field in its records to a 40 alphabetic and/or numeric character maximum (including spaces) to accommodate the NCN in both the \$.A.CHR and Central Repository (CR) response messages. (More information on the \$.A.CHR unsolicited message and the CR record response format is provided in [Chapter 2, Section 2.6.](#))

In addition to the purpose codes listed in [Section 9.2](#) of this chapter, the III permits participating states to use Purpose Code A (administrative file maintenance) to retrieve their data from the FBI's database. Under the NFF Program, record request transactions from NFF states using Purpose Code A do not apply to state-maintained records.

When an NFF state uses Purpose Code A to obtain its NFF data, the following III response is transmitted to the NFF state. This response applies to both single-source and multi-source NFF records.

```
EL01HEADERXXXX01234
FL0370101
THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR RECORD
REQUEST FOR FBI/9003000. SINCE THIS REQUEST IS FOR PUR/A AND YOU ARE AN NFF
PARTICIPANT, THIS RECORD MUST BE OBTAINED FROM FILES WITHIN YOUR STATE.
END
```

If the record is requested using the state's State Identification Number (SID), the III will replace the FBI UCN (in the example above, FBI/9003000) with a SID/(SID Number).

An NFF state may use Purpose Code A requests to retrieve its state data for FBI-maintained records from that state.

9.2.2 EXAMPLE OF AN NFF STATE \$.A.CHR MESSAGE AND CR RESPONSE

\$.A.CHR Message example:

```
$.A.CHR.HDR/2L01HEADERXXXX12345.NCF/0010004203.TME/0925.TMZ/EDT.
DTE/20010624.ORI/WVFBINF00.SID/FL01776048.FBI/9003000.NAM/PUBLIC,SUSIE Q.
PUR/I.ORT/FBI IDENTIFICATION DIVISION.ATN/000500001000420315197004.CRIMINAL
HISTORY REQUESTED
```

NFF State's CR Response message example:

An example of an NFF state CR response message follows. Note that it differs from the CR referenced in [Chapter 2, Section 2.6](#) of this manual with regard to (1) requesting agency ORI, (2) length of the ATN Field, and (3) inclusion of the purpose code.

```
CR.FLIII0000
21:00 08/18/2014 21602
21:00 08/18/2014 01028 WVFBINF00
*HEADERXXXX
TXT
HDR/2L01HEADERXXXX01234
ATN/000500001000420315197004
SID NUMBER: FL01776048
PURPOSE CODE: I
END OF RECORD
```

The format for record information containing more than one part is referenced in [Chapter 2, Section 2.6](#) of this manual. The last line of the final response must be "END OF RECORD".

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CHAPTER 10—RESPONDING TO CRIMINAL TENPRINT CONTRIBUTORS

SECTION 10.1—INTRODUCTION

This chapter applies to all criminal tenprint contributors and describes how these contributors receive their responses when all or a part of a record is maintained by a National Fingerprint File (NFF) state.

[Section 10.2](#) of this chapter describes the process affecting all local and state contributors outside an NFF state as well as all federal contributors, regardless of geographic location.

[Section 10.3](#) describes how responses are provided to local and state contributors in an NFF state when the state identifies the tenprint submission of an individual who has an established NFF record.

[Section 10.4](#) describes how responses are provided to local and state contributors in an NFF state when the state does not identify a criminal tenprint submission of an individual with a prior Interstate Identification Index (III) record.

SECTION 10.2—RESPONDING TO NON-NFF STATES AND LOCAL AND FEDERAL CONTRIBUTORS

The FBI provides the response when an arrest fingerprint submission from a non-NFF state or federal agency is identified with an NFF state's record or a III state's record and the state does not support the purpose code. The FBI also provides responses as required when processing dispositions, expungements, consolidations, death notices, return criminal tenprints, and other documents. The FBI retrieves the record from an NFF state via the III and returns it to the contributor and any designated agency(ies) via mail or the CJIS Wide Area Network (WAN). The FBI will include the FBI Identification Record when there are data from non-NFF states that are not indexed with a state pointer. However, the FBI will not compile the NFF state record, the state record designated with a state pointer, and the FBI Identification Record into a single record with the criminal history data in chronological order. See [Section 6.3.3 of Chapter 6](#) regarding state outreach.

When returning records, the FBI includes a cover sheet to the top page of the response that advises the contributor/designated agency why the response is being provided and furnishes the identity of the state(s) providing the record(s). In addition, if an NFF state's record is not received, the FBI advises the contributor of this fact on the cover sheet. When this situation occurs, the contributor/designated agency can use the III or a direct means to obtain the state record.

Short Answer Cover Sheet Sample

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
CRIMINAL JUSTICE INFORMATION SERVICES DIVISION
CLARKSBURG, WV 26306

WVNGI0000

NCN H2014123000000123456

THE ENCLOSED RECORD, DATED 2014/09/23, WITH THE FBI NUMBER 123456X11 AND NGI CONTROL NUMBER (NCN) H2014123000000123456 IS BEING PROVIDED AS THE RESULT OF CRIMINAL IDENTITY HISTORY RESPONSE REQUEST SUBJECT SEARCH.

DATA REQUESTED TO THIS RECORD WAS REQUESTED FROM THE FOLLOWING:

FLORIDA - STATE ID/FL025561114
FBI - FBI/123456X11

SINCE THIS RESPONSE CONTAINS NATIONAL FINGERPRINT FILE (NFF) AND/OR III PARTICIPATING STATE(S) REGULATED DATA, THE RESPONSE MAY NOT BE COMPLETE. HOWEVER THE FBI MAINTAINED DATA FROM THE NON-RESPONDING III PARTICIPANT STATE(S) IS INCLUDED IN THE RESPONSE. IF YOU FEEL THE RESPONSE IS INCOMPLETE PLEASE CONTACT THE CRIMINAL JUSTICE INFORMATION SERVICES DIVISION OR THE STATE BUREAU(S) TO REQUEST A COMPLETE RECORD.

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III/NFF MANUAL
Chapter 10—Responding to Criminal Tenprint Contributors

MD1012600
CHIEF
POLICE DEPARTMENT
101 MAIN STREET
ANYWHERE, MD 10101-1111

*TCN is included if the contributor provided it on the fingerprint submission.

SECTION 10.3—NFF STATE’S RESPONSE TO ITS STATE AND LOCAL CONTRIBUTORS

10.3.1 INTRODUCTION

When an NFF state identifies (idents) an arrest fingerprint submission from an in-state contributor with an existing NFF record, the NFF state should not forward the arrest fingerprint images to the FBI as a Criminal Answer Required Type of Transaction. Advising the contributor and any designated agency that the subject has a prior record is the state’s responsibility.

10.3.2 NFF STATE’S RESPONSE TO SINGLE-SOURCE IDENTIFICATIONS

When a tenprint image is identified with an NFF state’s single-source III indexed record, the state must provide the record response to the contributor and any other designated agency. The state can send a notification of the identification to the contributor if the contributor has direct terminal access. The agency can then request the record from the state system. Otherwise, the state must forward the record to the contributor/designated agency electronically or via mail. These records are identified in the state’s Computerized Criminal History (CCH) with an S Status Flag Indicator (SFI) which is automatically set via the III interface.

10.3.3 NFF STATE’S RESPONSE TO MULTIPLE-SOURCE IDENTIFICATIONS

When a tenprint submission is identified with an NFF state’s multi-source record, an NFF state must (1) obtain the out-of-state data via the III and provide it along with the state record to the contributor electronically or via mail or (2) if the contributor has a terminal, the NFF state must notify the agency of the identification in the same manner as single-source identifications. The agency can request the records online from the state and III systems. The multi-source records are identified in the state’s CCH with an M SFI which is automatically set via the III interface.

SECTION 10.4—RESPONDING TO AN NFF STATE AND ITS CONTRIBUTORS WHEN THE STATE DOES NOT IDENTIFY THE TENPRINT SUBMISSION

10.4.1 INTRODUCTION

When an NFF state is unable to identify a criminal tenprint against an existing NFF record, the state should transmit the tenprint submission to the FBI for processing. The FBI will use the basic III messages to notify the NFF state if the tenprint was used to establish a new record (\$.A.NPR No Prior Record-III Record Established) or if the tenprint was identified with a record not already containing its data (\$.A.PIR Prior Record-SID Number Entered in III Record). The FBI will also send the NGI Search Results—Electronic (SRE), via the CJIS WAN.

10.4.2 RESPONDING TO CONTRIBUTORS WHEN THE FBI DOES NOT IDENTIFY THE NFF STATE’S TENPRINT SUBMISSION

When the FBI does not identify (nonidents) an NFF state’s tenprint submission with an existing criminal record, the FBI will send a \$.A.NPR message to the state and include the ORI of each agency (contributor and/or any designated agency) that indicated a reply was desired. For NFF states, the \$.A.NPR message has been expanded to include a maximum of 13 ORIs to which a copy may be sent. An equivalent message sent via the CJIS WAN is provided in [Appendix J](#) of this manual.

NOTE: If no SEND COPY TO ORIs are listed on the fingerprint submission, the NFF state’s \$.A.NPR message will end with the period after the word ESTABLISHED.

```
$.A.NPR.SID/FL01776048.FBI/9003000.ORI/FL0200100.OAN/DEPARTMENT OF PUBLIC  
SAFETY.OAC/QUINCY.OCA/A-38701895.NAM/PUBLIC,SUSIE Q.SEX/F.  
RAC/W.DOB/19570812.FPC/.DOA/ 19991208.NO PRIOR RECORD - NCIC III RECORD  
ESTABLISHED.ORI/FL0200100,FL0200000,FL0200200,FL020105A,FL020015G,FL0200300
```

The state must determine the best means to respond to an identified agency(ies). Because the state agency knows the contributors that have terminals and those that do not, the state can choose whether it will reformat the \$.A.NPR message and transmit the information online or by mail or use the NGI SRE.

Sample Reformatted No Prior Record (\$.A.NPR) Message

FL0200100

DEPARTMENT OF PUBLIC SAFETY, QUINCY, FL

THIS MESSAGE IS THE RESULT OF AN ARREST TENPRINT SUBMITTED BY YOUR AGENCY CONCERNING THE FOLLOWING INDIVIDUAL. A SEARCH OF THE FINGERPRINTS BY THE FBI CJIS DIVISION FAILED TO DISCLOSE A PRIOR ARREST RECORD:

NAME	SEX	RACE	BIRTH DATE
PUBLIC,SUSIE Q	F	W	1957/08/12

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III/NFF MANUAL
Chapter 10—Responding to Criminal Tenprint Contributors

YOUR OCA	ARREST DATE	FINGERPRINT CLASS	HENRY CLASS
A-38701895	1999/12/08		

FBI NUMBER ASSIGNED - 9003000

STATE ID NUMBER ASSIGNED - FL01776048

THE RECORD FOR THIS INDIVIDUAL IS A PART OF THE NCIC INTERSTATE IDENTIFICATION INDEX AS OF 2014/09/19.

DEPARTMENT OF LAW ENFORCEMENT
CRIME INFORMATION BUREAU
TALLAHASSEE, FLORIDA

NOTES:

1. All data fields can be filled from the \$.A.NPR message except the date the record was established in the III.
2. The date the record was established in the III is derived from the date the \$.A.NPR message was received.
3. If the record was established after July 28, 1999, the FPC (Fingerprint Classification) Field will be blank. (On that date, the Identification Division Automated System [IDAS] database was merged into the III segment of the Integrated Automated Fingerprint Identification System [the precursor to the Next Generation Identification system currently in use].) Staff at the FBI's CJIS Division expanded the OCA, OAN, and OAC Fields to a maximum length of 20 alphabetic and/or numeric characters (including spaces). More information about the OCA, OAN, and OAC Fields is available in [Appendix A](#).

10.4.3 RESPONDING TO CONTRIBUTORS WHEN THE FBI IDENTIFIES AN NFF STATE'S TENPRINT SUBMISSION WITH A CRIMINAL RECORD

When the FBI identifies an NFF state's tenprint submission with a record in the III that does not already contain data from the state, the FBI will send a \$.A.PIR (Prior Index Record-SID Number Entered in III Record) message to the state and will include the ORI of each agency (contributor and/or designated agency) that indicated a reply was desired. As with the \$.A.NPR message, the NFF state's \$.A.PIR has been expanded to include a maximum of 13 ORIs to which a copy may be sent. An equivalent message sent via the CJIS WAN is provided in [Appendix J](#).

NOTE: If no SEND COPY TO ORIs are listed on the fingerprint submission, the NFF state's \$.A.PIR message will end with the period after the word RECORD.

```
$.A.PIR.SID/FL09999999.FBI/9099000.ORI/FL0290200.OAN/POLICE  
DEPARTMENT.OAC/TAMPA.OCA/TPD9987019.NAM/ANDREWS,JASON PAUL.  
SEX/M.RAC/W.DOB/19650625.FPC/PIPO08POCODIPOPICICI.DOA/19991224.PRIOR RECORD -  
SID NUMBER ENTERED IN NCIC III RECORD.ORI/FL0290200,  
FL0290000,FL0290700,FL029015A,FL029025G
```

The state must determine the best means to respond to the identified agency(ies). For those agencies with terminals, the state can reformat the \$.A.PIR message and transmit it either online or by mail. Information regarding the \$.A. PIR message is available in [Section 4.2.5 of Chapter 4](#). The terminal agency can use the III to obtain the out-of-state data. For those agencies not having terminals, the state can retrieve the out-of-state data via the III and forward it along with the state record either electronically via a state network or through the mail. An equivalent message sent via the CJIS WAN is provided in [Appendix J](#) of this manual.

Sample Reformatted Prior Index Record Message

FL0290200

POLICE DEPARTMENT, TAMPA, FL

THIS MESSAGE IS THE RESULT OF AN ARREST TENPRINT SUBMITTED BY YOUR AGENCY CONCERNING THE FOLLOWING INDIVIDUAL. THIS INDIVIDUAL HAS A PRIOR CRIMINAL RECORD AVAILABLE VIA THE INTERSTATE IDENTIFICATION INDEX (III).

NAME	SEX	RACE	BIRTH DATE
ANDREWS, JASON PAUL	M	W	1965/06/25

YOUR OCA	ARREST DATE	FINGERPRINT CLASS
TPD9987019	1999/12/24	PI PO 08 PO CO DI PO PI CI CI

FBI NUMBER ASSIGNED - 9099000

STATE ID NUMBER ASSIGNED - FL09999999

DEPARTMENT OF LAW ENFORCEMENT

CRIME INFORMATION BUREAU

TALLAHASSEE, FLORIDA

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CHAPTER 11—APPLICANT FINGERPRINT PROCESSING**SECTION 11.1—APPLICANT FINGERPRINT PROCESSING****11.1.1—INTRODUCTION**

This chapter describes how applicant fingerprint submissions are processed in the NGI under the NFF Program. These procedures impact all applicant fingerprint contributors. Additional information regarding the electronic submission of fingerprints is available in [Chapter 6](#) of this manual.

The FBI's CJIS Division provides authorized State Identification Bureaus (SIBs) the fingerprint search results online via the III or the CJIS Wide Area Network (WAN). The results indicate whether the fingerprint submission was nonidentified (not identified) or identified with an existing criminal record at the FBI's CJIS Division.

Upon receipt of search results indicating that a subject has an existing record at the FBI's CJIS Division, a state agency may request the record information via the III using the appropriate purpose code. (Additional information about purpose codes is available in [Chapter 3](#) and [Chapter 9](#) of this manual.) The state agency should then electronically forward or mail the record information to the local criminal justice agency or noncriminal justice agency when the search is for noncriminal justice applicant purposes, or to a criminal justice agency when the search is for either noncriminal justice or criminal justice applicant purposes. Those states wishing to receive applicant fingerprint search results online via the III messaging must provide prior notification to the Biometric Services Section's Customer Service Group of the CJIS Division at 304-625-5590.

11.1.2 DISSEMINATION OF CRIMINAL HISTORY RECORD INFORMATION (CHRI) FOR NONCRIMINAL JUSTICE PURPOSES

To receive the FBI's Identity History Summary (IdHS) for noncriminal justice purposes, SIBs must abide by state laws and III guidelines. Any III state providing its records for noncriminal justice purposes must provide all record information except that portion of the records that has been sealed at the state level. The state receiving the information is responsible for screening the FBI Identification Record information and the state's record information. If the receiving state has screening laws, the state receiving the III information must apply those screening laws prior to disseminating the record to its noncriminal justice agencies. If screening laws do not exist, the state will disseminate the FBI's Identification Record and the state's record information without screening. (Screening laws vary by state and are based on state statutes.)

On June 22, 2005, the National Crime Prevention and Privacy Compact Council published a final rule, "Criminal History Record Screening for Authorized Noncriminal Justice Purposes" (28 CFR § 904) in the *Federal Register*, which formalizes the FBI's III Program guidelines related to record screening prior to dissemination of criminal history record information for noncriminal justice use. [Appendix R](#) of this manual provides the language of 28 CFR § 904, and [Chapter 3, Section 3.2](#), contains a list of the purpose codes.

SECTION 11.2—APPLICANT FINGERPRINT SUBMISSIONS IDENTIFIED AT THE STATE LEVEL

11.2.1 INTRODUCTION

Authorized SIBs are permitted to use the III for noncriminal justice (e.g., licensing and employment) and criminal justice applicant purposes. When performing a III record request for noncriminal justice applicant purposes (Purpose Code I), the SIB must perform a technical search at the state level to identify the applicant fingerprint submission with a state criminal history record indexed in the III prior to the record request. If the SIB makes an identification, the SIB shall retrieve and forward the record to its contributors. If an applicant fingerprint submission is not identified with a record at the state indexed in the III, the state shall forward the fingerprint submission to the FBI's CJIS Division for processing. When the SIB performs a III record request for criminal justice applicant purposes (Purpose Code J), the SIB is not required to perform a technical search to identify the applicant fingerprint submission with a criminal history record prior to the record request. However, if fingerprints are collected, the SIB shall perform the technical search. If a criminal justice applicant fingerprint submission is not identified with a record at the state, the SIB shall forward the fingerprint submission to the FBI's CJIS Division for processing.

11.2.2 USE OF THE III FOR NONCRIMINAL JUSTICE PURPOSE CODE I

Before processing a III record request using Purpose Code I, an authorized SIB must positively identify the subject of the request by searching the applicant fingerprint submission against its state database. If the SIB identifies an applicant fingerprint submission with a III record, the SIB may use a QH (Query Index) inquiry message to retrieve any aliases and other supplemental identifiers that may be on file. The SIB must conduct the QH inquiry message using either the individual's FBI UCN or SID Number and must contain Purpose Code I. The SIB must make the QH inquiry message using either the individual's FBI UCN or SID and Purpose Code I. If the SIB uses the identifiers NAM (name), DOB (date of birth), SEX, RAC (race), SOC (Social Security number), MNU (Miscellaneous Number), the III will reject the inquiry.

If the applicant fingerprint submission is identified with a multi-source III record, the SIB must use a QR (Query Record) request message containing Purpose Code I to obtain the record information. Only those III states that respond to Purpose Code I will receive \$.A.CHR (Criminal History Request Notification) unsolicited messages containing this purpose code. The III will provide the FBI Identification Record for those states that do not respond to Purpose Code I. More information on the \$.A.CHR unsolicited message is furnished in [Chapter 2](#), and examples appear in [Chapter 3](#) of this manual.

A III record provided by the FBI's CJIS Division for Purpose Code I will have the following caveats appended:

BECAUSE ADDITIONS OR DELETIONS MAY BE MADE AT ANY TIME, A NEW COPY SHOULD BE REQUESTED WHEN NEEDED FOR SUBSEQUENT USE.

ALL ARREST ENTRIES CONTAINED IN THIS FBI RECORD ARE BASED ON FINGERPRINT COMPARISONS AND PERTAIN TO THE SAME INDIVIDUAL.

THE USE OF THIS RECORD IS REGULATED BY LAW. IT IS PROVIDED FOR OFFICIAL USE ONLY AND MAY BE USED ONLY FOR THE PURPOSE REQUESTED.

11.2.3 USE OF THE III FOR CRIMINAL JUSTICE EMPLOYMENT PURPOSE CODE J

An authorized SIB must use Purpose Code J (Criminal Justice Employment) in its QH inquiry and QR record request messages when processing an applicant fingerprint submission for criminal justice employment. When performing III record requests for criminal justice applicant purposes (Purpose Code J), the SIB is not required to perform a technical search to identify the applicant fingerprint submission with a criminal history record prior to the request. However, if fingerprints are collected, the SIB shall perform the technical search. If a criminal justice applicant fingerprint submission is not identified with a record at the state, the SIB shall forward the fingerprint submission to the FBI's CJIS Division for processing.

Only those III states that respond to Purpose Code J will receive \$.A.CHR unsolicited messages containing this purpose code. The III will provide the FBI Identification Record for those states that do not respond to Purpose Code J. More information on the NFF \$.A.CHR unsolicited message is furnished in [Chapter 9](#) of this manual.

SECTION 11.3—ALTERNATIVES FOR PROCESSING APPLICANT FINGERPRINT SUBMISSIONS

11.3.1 NONIDENTIFICATIONS

When the FBI's CJIS Division staff or the NGI "nonidents" (does not identify) an applicant fingerprint submission, two methods are available to fingerprint contributors:

- **Method 1**—The FBI's CJIS Division staff provides via the CJIS Wide-Area Network (WAN) or mail the "nonident" record response to the appropriate agency.
- **Method 2**—The III sends an online \$.A.CFN (Applicant Fingerprint Submissions Not Identified) unsolicited message to the SIB providing the nonident record response, and the SIB provides the results to the contributor. Refer to [Section 11.4](#) of this chapter for the message format and an explanation of the \$.A.CFN unsolicited message.

11.3.2 IDENTIFICATIONS

When the FBI's CJIS Division staff or the NGI identifies an applicant fingerprint submission with a III record, two methods are available to fingerprint contributors.

FBI Retrieves the Record Information

- **Method 1A**—(Nonscreening States)—The FBI's CJIS Division staff retrieves the record information and provides it via the CJIS WAN or mail (depending on the state's dissemination preference) to the appropriate agency based on existing statutes.
- **Method 1B**—(Screening States)—The staff at the FBI's CJIS Division retrieves the record information and provides it via the CJIS WAN or mail (depending on the state's dissemination preference). The SIB applies its dissemination standards prior to responding to the contributor.

State Retrieves the Record Information

- **Method 2**—(Screening and Nonscreening States)—The III sends an online \$.A.CFR (Applicant Fingerprint Submissions Identified) unsolicited message to the SIB that contains the FBI UCN, purpose code, and other pertinent data from the fingerprint submission. The SIB is then responsible for retrieving the record information and forwarding it to the contributor. Refer to [Section 11.5](#) of this chapter for the message format and explanation of the \$.A.CFR unsolicited message.

With the deployment of Increment 4 of the Next Generation Identification (NGI) on September 7, 2014, the FBI began using III messaging to reach out with a \$.A.CHR message to a state to

obtain the record for a tenprint submission that positively identifies to an active SID, also referred to as an “active state pointer.” This process is what the FBI refers to as state outreach. Before NGI, the FBI would contact only National Fingerprint File (NFF) state participants. The FBI’s CJIS Division made this change to provide the most accurate response to the contributor of the tenprint submission. This occurs only for the purpose codes the particular state supports.

If the state responds to the FBI within the maximum response time (e.g., 10 minutes), the FBI replaces its internal record with the state’s record and appends the state response to the FBI response. The FBI response will include the state response and any criminal events retained in the NGI not associated with an active state pointer as well as all federal event data. Should a state not provide the FBI with a response within the maximum response time, the FBI will respond with all information that can be disseminated retained in the NGI for that state.

SECTION 11.4—USE OF THE \$.A.CFN AND \$.A.CFR MESSAGES**11.4.1 USE OF THE \$.A.CFN WHEN APPLICANT FINGERPRINT SUBMISSIONS ARE NOT IDENTIFIED**

When an applicant fingerprint submission is not identified with a record in the III, the III transmits the search results online to the appropriate SIB via a \$.A.CFN unsolicited message. Upon receipt of the search results, the SIB either retransmits or mails the results to the contributor.

States submitting applicant fingerprints electronically to the NGI may opt to use the Search Results Electronic (SRE) message instead of the optional III unsolicited \$.A.CFN message to finalize the applicant processing. Upon receipt of an SRE or a \$.A.CFN message indicating non-identification, the SIB must notify the contributing agency electronically or via mail. Refer to [Chapter 6, Section 6.4.2](#), of this manual for the message format and an explanation of the \$.A.CFN unsolicited message.

11.4.2 USE OF THE \$.A.CFR WHEN APPLICANT FINGERPRINT SUBMISSIONS ARE IDENTIFIED

When an applicant fingerprint submission is identified with a record in the III, the III transmits the search results online to the appropriate SIB via a \$.A.CFR unsolicited message. The \$.A.CFR provides the FBI UCN, purpose code, and other pertinent data from the fingerprint submission. Upon receipt of an SRE or a \$.A.CFR message indicating an identification, the SIB must retrieve the record via the III using the appropriate purpose code, apply any dissemination standards to the response(s), and either retransmit or mail the results to the contributor. Refer to [Chapter 6, Section 6.5.2](#), of this manual for the message format and an explanation of the \$.A.CFR unsolicited message.

SECTION 11.5—FBI RETRIEVES IdHS

11.5.1 METHODS 1A AND 1B

When the FBI's CJIS Division staff identifies an applicant fingerprint submission with a III record, and the submitting state has elected for the FBI to retrieve the record information (according to Methods 1A and 1B as described in [Section 11.3.2](#) of this chapter), the CJIS Division's staff will retrieve the record information and provide it via the CJIS WAN or mail to the submitting state, depending on the state's preference. A response cover sheet will advise the recipient why the record is being provided and which agencies provided the record information. [Chapter 10](#) of this manual gives further information regarding this process. When an NFF state maintains all or a portion of an identified record, the FBI's CJIS Division staff will use the III to retrieve the NFF record and/or III state's record if the state supports the appropriate purpose code. If the III state responds to the FBI within the maximum response time (e.g., 10 minutes), the FBI replaces its internal record with the state's record and appends the state response to the FBI response. The CJIS Division's staff will provide record information maintained by non-NFF states, unless there is an active state pointer and that state responds to the specified purpose code. Information regarding this process, referred to as "state outreach," is in [Section 6.3.3 of Chapter 6](#) of this manual. [Chapter 10](#) of this manual furnishes information about responding to criminal tenprint contributors.

11.5.2 ELECTRONIC APPLICANT SUBMISSIONS WITH HARD COPY RESPONSE

In December 2002, the CJIS APB approved a recommendation to permit states using electronic submissions to receive hard copy responses for applicant tenprints on an interim basis until the state can obtain the necessary infrastructure to forward the results electronically to the applicant contributors.

These submissions are sent using the Electronic In/Manual Out User Fee (EMUF) Type of Transaction (TOT). The submissions are for noncriminal justice purposes for which the contributor is charged a fee. The response for this submission is returned to the contributor manually instead of electronically. The EMUF is a limited-use TOT that requires coordination with staff at the Customer Service Group of the FBI's CJIS Division at 304-625-5590.

SECTION 11.6—APPLICANT TENPRINTS SUBMITTED TO THE FBI BY FEDERAL CONTRIBUTORS

For both the III and the NFF programs, the FBI's CJIS Division staff uses the same method to process applicant tenprints submitted by federal contributors in which no criminal records are identified. The CJIS Division provides, via the CJIS WAN, the "nonident" record response to the federal contributor.

When federal applicant tenprints identify with a criminal record that is maintained completely or partially by an NFF state, the FBI will retrieve the data from the NFF state and provide it to the contributor. Conditionally, the CJIS Division staff will provide record information maintained by non-NFF states, unless there is an active state pointer and that state responds to the specified purpose code associated with the fingerprint submission. Information regarding this process, referred to as "state outreach," is in [Section 6.3.3 of Chapter 6](#) of this manual. The FBI attaches a cover sheet to the response, which is sent via the CJIS WAN, to the federal contributor. More information concerning the cover sheet is described in [Chapter 10, Section 10.2](#), of this manual.

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CHAPTER 12—ESTABLISHING NFF RECORDS

SECTION 12.1—INTRODUCTION

This chapter provides National Fingerprint File (NFF) record information to NFF states and to Interstate Identification Index (III) states that are interested in participating in the NFF.

[Section 12.2](#) of this chapter furnishes information about how the FBI processes initial criminal tenprint submissions provided by an NFF state and the data that are maintained in the FBI's Next Generation Identification (NGI) System relating to the criminal tenprints.

[Section 12.3](#) of this chapter furnishes information about how the FBI processes criminal tenprints that do not contain State Identification Numbers (SIDs) from NFF states.

[Section 12.4](#) furnishes information about how the FBI processes records already indexed in the III for an NFF participant.

SECTION 12.2—INITIAL CRIMINAL TENPRINTS SUBMITTED BY AN NFF STATE**12.2.1 AN NFF STATE'S INITIAL CRIMINAL TENPRINTS THAT ARE NOT IDENTIFIED WITH A CRIMINAL RECORD**

Under the III Program, when a state participating in the III submits to the FBI a tenprint that is not identified with an existing criminal record and the SID is present on the tenprint, staff at the FBI's CJIS Division will establish a new record containing all pertinent data from the tenprint and transmit a NO PRIOR RECORD (\$.A.NPR) message to the state. Based on this message, the state should enter the FBI UCN into its file and set its III status flag to indicate the record is single-source.

Under the NFF Program, the FBI uses these same procedures with one exception: the FBI will not store the charge, disposition, date of arrest (DOA), or the agency case number (OCA) contained on the NFF state's tenprint. The III System enters the DOA and OCA and transmits the \$.A.NPR message; however, neither is stored in the database. Thus, the FBI record for a "nonident" tenprint submitted by an NFF state will consist only of the subject's name, physical descriptors, numerical identifiers, SID, and contributor ORI. A sample \$.A.NPR message that shows how the message has been expanded to include the ORIs of the agencies requesting a response is provided in [Chapter 10](#) of this manual. An equivalent message transmitted via the CJIS Wide-Area Network (WAN) is provided in [Appendix J](#) of this manual.

12.2.2 AN NFF STATE'S INITIAL CRIMINAL TENPRINTS THAT ARE IDENTIFIED WITH A CRIMINAL RECORD

When a III participant's tenprint includes a SID identified with a record not containing data from that state, the FBI will enter all pertinent data from the tenprint and transmit a PRIOR INDEX RECORD (\$.A.PIR) message to the state. Based on this message, the state should enter the FBI UCN in its file and set its III status flag to indicate the record is multi-source.

Under the NFF Program, the CJIS Division's staff uses the same procedures with one exception: the FBI will not store the charge, disposition data, DOA, or OCA contained on the NFF state's tenprint. However, the FBI will transmit the DOA and OCA in the \$.A.PIR message. A sample \$.A.PIR message that shows how the message has been expanded to include the ORIs of the agencies requesting a response is furnished in [Chapter 10](#) of this manual. An equivalent message transmitted via the CJIS WAN is provided in [Appendix J](#) of this manual.

SECTION 12.3—CRIMINAL TENPRINTS WITHOUT SIDS SUBMITTED BY STATES PARTICIPATING IN THE NFF

Currently, a III participant's SID on a criminal tenprint is not required to establish a new record nor for adding the state's data to an existing record. When the III participant's tenprint does not contain a SID and is not identified with an existing record, the III System establishes a new record with an FBI pseudo-pointer, and the FBI provides the state's data. The III System sends a \$.A.RNP message (SID REJECTED-NO PRIOR NCIC III RECORD) to the state. Likewise, if the participant's tenprint without the SID is identified with a record not already containing data for the state, the III System adds the state's data to the FBI record, creates a pointer to the FBI for the state's data, and sends the state a \$.A.RPR message (SID REJECTED-PRIOR NCIC III RECORD).

Under the NFF Program, an NFF state is required to add the SID to establish a new record and to add its data to an existing record not already containing data for the state. If the SID is not present under these circumstances, the FBI's CJIS Division staff cannot add the tenprint to the national indices; instead, the CJIS Division's staff will return the print to the state bureau (usually electronically) with an explanation attached. The III will not transmit a \$.A.RNP or \$.A.RPR message. The NFF state must add a correct SID and resubmit the tenprint. For the NFF state's tenprints submitted electronically to the NGI without a SID, the NGI will generate an error message (L0023) over the CJIS WAN. More information about error messages is furnished in [Appendix M](#) of this manual.

SECTION 12.4—III RECORDS THAT WILL BECOME NFF RECORDS

Currently, there are two types of records in the III with participating states' information: records indexed with a participant's SID and records indexed pointing to the FBI for the state's data. When a state begins participating in the NFF Program, the records indexed in the III with the NFF state's SID become the state's NFF records. Therefore, the state will no longer be required to submit to the FBI's CJIS Division any subsequent arrest tenprints, dispositions, or expungements for these records—the state assumes responsibility of the information and must enter the data into its own systems.

The III single-source or multi-source status indicator maintained in the state's file for each of the records is a flag used to determine how a future arrest tenprint needs to be submitted to the FBI. The state's file should not contain a III single-source or multi-source status indicator for any record that is not indexed in the III with its SID.

For many NFF records, the FBI has multiple tenprints on file submitted prior to the state's becoming an NFF participant. The FBI's CJIS Division will eventually purge these records and any related information from the III system. Prior to this purging, the information will be irretrievable for any type of record request, and an NFF participant can no longer submit expungement requests on NFF state records pertaining to individual dates of arrest. Details about how expungements are processed are provided in [Chapter 14](#) of this manual.

A III/NFF state may take control of its records that are supported by the CJIS Division if the state can support all arrest cycles in the FBI record with fingerprints. The NFF state can run a QR (Query Record) inquiry with Purpose Code A to obtain arrest information in the FBI-maintained record for that state. If the state database contains at least as much information, the state should send an MRS (Modify Record SID) message to the III to place its SID in the record. In addition, the FBI has the capability to provide the FBI-supported records in large volume to the state via a III Correlation if the state so requests. An NFF state agency can request a III Correlation by sending an e-mail to CJIS Division staff at <fbi-iii@leo.gov>. More information regarding a III Correlation can be found in [Appendix T](#) of this manual.

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CHAPTER 13—CRIMINAL TENPRINTS IDENTIFIED BY AN NFF STATE

SECTION 13.1—INTRODUCTION

When a National Fingerprint File (NFF) state identifies a subsequent criminal tenprint and discovers personal descriptors for a subject that were not previously recorded in the III, the state must add the applicable identifiers to the NFF record maintained by the FBI. Also, an NFF state must submit all criminal fingerprint impressions to the FBI for second and/or subsequent criterion offenses (a felony or misdemeanor that is not on the list of nonserious offenses) as Fingerprint Image Submission (FIS) TOTs (Type of Transactions) to the FBI's CJIS Division to update the fingerprint characteristics in the national index. (The FIS requirement is reflected in the November 2016 *NFF Qualification Requirements*, which are provided in [Chapter 8](#) of this manual.) Legacy NFF states must develop a strategic long-range plan to submit all second and/or subsequent criminal fingerprint submissions as FIS transactions.) This chapter addresses how NFF states should handle these types of subsequent criminal tenprints.

[Section 13.2](#) of this chapter addresses NFF state procedures for notifying the FBI when a subsequent criminal tenprint is identified.

[Section 13.3](#) of this chapter addresses NFF state participation in the IDENT/Next Generation Identification (NGI) Biometric Interoperability Program within the CJIS Global Initiative Unit (GIU).

[Section 13.4](#) of this chapter addresses NFF state procedures for updating the III with supplemental biographic identifiers when a subsequent criminal tenprint is identified.

[Section 13.5](#) of this chapter addresses NFF state procedures for submitting fingerprints to the FBI when a subsequent criminal tenprint is identified.

SECTION 13.2—NOTIFYING THE FBI WHEN A SUBSEQUENT CRIMINAL TENPRINT IS IDENTIFIED

A number of services provided by the FBI's CJIS Division depend upon the CJIS Division knowing a subject has been arrested. To ensure that these services continue under the NFF Program, the CJIS Division staff must be advised when an NFF state identifies a subsequent tenprint with an NFF record. The most efficient means of notification is for the NFF state to send the CJIS Division a Criminal Print Ident (CPI) file maintenance message. The states may choose to transmit the messages online in real-time (as the idents are made) or batch the information and transmit it online each night. An example of the electronic message is furnished below followed by an explanation of the message's contents.

Message:

```
2L01HEADERXXXX01234.CPI.NC0540100.NC1570916A.346720ND9.TCN/1006922012296011
```

Explanation:

<u>Message Segment</u>	<u>Field</u>
2L01HEADERXXXX01234.	Header
CPI.	Message Key (Criminal Print Ident)
NC0540100	NFF State Arresting Agency Identifier (ORI)*
NC1570916A	SID of record for which an NFF state identified a subsequent criminal tenprint
346720ND9.	FBI UCN of the identified record
1006922012296011	State Transaction Control Number (TCN) (Optional)

*Inclusion of the arresting agency's ORI in the CPI message enables the FBI to include the ORI in wanted hit notifications it transmits to wanting agencies. This ORI information facilitates communication between the wanting agency and the agency holding the arrested individual.

For each message received, the III can transmit an accept message as shown by the following example. The CPI accept message is sent at the option of the NFF state.

```
KL01HEADERXXXX01234
NCBCI0000
ACCEPT CPI FOR SID/NC1570916A
```

Reject messages also are transmitted as necessary. An example of the electronic reject message is furnished below.

```
JL01HEADERXXXX01234  
OHBCI0000  
REJECT FOR THE FOLLOWING REASON(S)  
    SID NOT ON FILE FOR THIS RECORD  
REJECT CPI.OHA000004.9006600
```

NOTE: NFF states must queue CPI messages when the III is out of service or in restricted service. In addition, if the state switch is down but state processing continues, the state system must queue CPIs to transmit when the switch resumes. It is imperative that the FBI/III continue to receive CPI messages so that wanting and sexual offender registry agencies can be notified when an NFF state processes subsequent arrest fingerprints.

SECTION 13.3—NFF STATE PARTICIPATION IN IDENT/NGI BIOMETRIC INTEROPERABILITY

NFF states participating in IDENT/NGI Interoperability may receive the Department of Homeland Security (DHS) response. In 2008, at the request of an NFF state, the CJIS Division modified the CPI message to include an optional state Transaction Control Number (TCN) Field to enable NFF states to route the DHS response to the arresting agency.

NFF states that wish to participate in IDENT/NGI Biometric Interoperability must coordinate with the CJIS Division's Interoperability Team by telephone at 304 625-2000 or by facsimile at 304-625-3875.

SECTION 13.4—UPDATING THE III WITH SUPPLEMENTAL IDENTIFIERS

When an NFF state identifies a subsequent criminal tenprint with an NFF record in which the subject gave identifiers not previously recorded, the state must add the applicable identifiers to the NFF record maintained by the FBI. This online update capability currently exists with the Supplemental Identifiers (EHN) message. The supplemental identifiers include alias name; date of birth; miscellaneous number (military serial numbers, etc.); Social Security number; and scars, marks, and tattoos. NFF states may employ an XHN cancellation message to cancel a specific supplemental identifier(s). Please note, if an agency includes multiple supplemental identifiers in a single EHN message and the III rejects one of the entries based on an error with one of the supplemental identifiers, the III will reject the entire EHN message. For this reason, states may choose to send each new supplemental identifier in a separate EHN message.

SECTION 13.5—SUBMITTING TENPRINTS FOR SECOND AND/OR SUBSEQUENT ARRESTS IDENTED TO AN NFF RECORD

When an NFF state identifies subsequent arrest tenprints with an NFF record, the state shall submit the criminal fingerprint impressions to the FBI for second and/or subsequent criterion offenses as a FIS TOT. An NGI FIS TOT alerts the CJIS Division's staff that the tenprints are being submitted solely for updating the fingerprint characteristics in the national index.

[Appendix N](#) of this manual furnishes information regarding the specific fields used when submitting a FIS TOT. The appropriate response message transmitted over the CJIS Wide-Area Network is furnished in [Appendix P](#) of this manual.

NOTE: The FIS requirement is reflected in the November 2016 *NFF Qualification Requirements*. Legacy NFF states are required to develop a strategic long range plan to submit all second and/or subsequent criminal fingerprint submissions as FIS transactions.

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CHAPTER 14—EXCEPTION PROCESSING**SECTION 14.1—INTRODUCTION**

The III Program's procedures accommodate National Fingerprint File (NFF) processing requirements. This chapter describes errors and unusual circumstances that may result from incorrect tenprint submissions sent by NFF states to the Interstate Identification Index (III).

[Section 14.2](#) of this chapter describes FBI procedures for processing tenprints submitted by NFF states.

[Section 14.3](#) of this chapter describes FBI procedures for processing NFF state record expungements.

[Section 14.4](#) of this chapter describes FBI procedures for processing electronic messages regarding the records of deceased individuals submitted by NFF states.

[Section 14.5](#) of this chapter describes FBI procedures for processing record consolidations by NFF states.

[Section 14.6](#) of this chapter describes miscellaneous processing procedures.

SECTION 14.2—PROCESSING TENPRINTS SUBMITTED BY NFF STATES

14.2.1 PROCESSING AN NFF STATE'S SUBSEQUENT TENPRINT FOR AN NFF RECORD

When an NFF state bureau submits a criminal tenprint to the FBI's CJIS Division that is identified with the state's NFF record and the State Identification Number (SID) on the submission is the same as the SID indexed in the NFF record, the CJIS Division's staff sends one of the following \$.A. messages to the state: \$.A.PES (Previously Established Single Source) or \$.A.PEM (Previously Established Multi Source). Additional information about single-source records and multi-source records is presented in the Glossary. These messages advise the state that its SID is already established in the Interstate Identification Index (III) and indicates by message type whether the record is single-source or multi-source. If necessary, up to 13 agencies may receive these messages for a given record.

A sample \$.A.PES/\$.A.PEM message is provided below. The format is essentially the same as \$.A.NPR (No Prior Record-III Record Established) and \$.A.PIR (Prior Record-SID Number Entered in III Record) messages.

```
$.A.PES(or PEM).SID/FL01776048.FBI/9003000.ORI/FL0290300.
OAN/POLICE DEPARTMENT.OAC/TEMPLE TERRACE.OCA/1234567890.
NAM/PUBLIC, SUSIE Q.SEX/F.RAC/W.DOB/19570812.
FPC/POPI161214SRPO121614.DOA/19910108.PREVIOUSLY
ESTABLISHED SID.ORI/FL0290300,FL0290000.
```

NOTE: If the record was established after July 28, 1999, the Fingerprint Classification (FPC) Field will be blank. The OAN, OAC, and OCA Fields contain a maximum length of 20 alphanumeric characters.

After verifying the \$.A.PES/PEM message information, the NFF state must ensure the single source and multi-source status flags are set correctly to avoid future PES/PEM errors.

14.2.2 PROCESSING AN NFF STATE'S TENPRINT WHEN THE SID IS INDEXED FOR A DIFFERENT INDIVIDUAL

According to III procedures, when a state's initial tenprint is either not identified (or is identified with a criminal record) and the SID is already on file for a different individual, the III will (1) establish the state's data with a pointer to the FBI and (2) send the appropriate \$.A. unsolicited message (\$.A.RNP for nonidents or \$.A.RPR for idents). However, under NFF procedures, the FBI cannot substitute the record in its file because the FBI will not have the criminal history information.

According to NFF procedures, the III will generate a reject message to the submitting agency. Prior to rejecting the tenprint, the FBI ensures that the SID is read and entered as it appears on the tenprint submission. The state bureau must put a correct SID on the tenprint, correct the state database, and resubmit the tenprints to the FBI. The \$.A.RNP/RPR messages, which are used to

transmit this information, must include the Agency Identification Numbers (ORIs) of the agencies requesting a response. An electronic submission containing this SID error will also generate error messages transmitted over the CJIS Wide-Area Network (WAN), as shown in [Appendix L](#). The NGI error message (L0024) does not include the tenprints; the NFF state must correct the SID error and electronically resubmit the tenprints.

The contributor will not receive a response unless the NFF state reprocesses the tenprint. The NFF state must then provide the contributor with the response.

14.2.3 PROCESSING AN NFF STATE'S TENPRINT WHEN THE TENPRINT IS IDENTIFIED WITH AN NFF RECORD AND THE SID DOES NOT MATCH THE SID IN THE III

When a criminal tenprint is identified by the FBI's CJIS Division with the state's NFF record and the SID on the tenprint is different than the SID indexed in the NFF record, the III will transmit a \$.A.NMS (SID Number Consolidation) message. If the SID on the tenprint is also indexed for a different individual, the III will attach a caveat to the \$.A.NMS message that identifies the other record. For tenprint submissions containing this SID error, the FBI will transmit an NGI error message (L0038) over the CJIS WAN, as shown in [Appendix K](#) of this manual.

A \$.A.NMS message usually indicates that a III state did not positively identify an individual and assigned another SID to the individual; consequently, the CJIS Division's staff identified the individual from a previous record. The \$.A.NMS message provides the SID on the current criminal tenprint as well as the SID indexed in the III for the individual. The NFF state must resolve the error within 2 business days when notified via a \$.A.NMS message as per the *NFF Qualification Requirements*, [Section II, Part I](#). Otherwise, the III will contain two state records for the same individual in the state's database. After the NFF state verifies the consolidation, the NFF state must send a CPI message to the CJIS Division. Additional information regarding CPI messages is available in [Chapter, 13, Section 13.2](#), of this manual.

14.2.4 PROCESSING AN NFF STATE'S TENPRINT SUBMITTED TO UPDATE FINGERPRINT CHARACTERISTICS AND THE TENPRINT IS NOT IDENTICAL

When an NFF state submits a tenprint for updating the National Fingerprint Index (Fingerprint Image Submission [FIS] Type of Transaction [TOT]) and the print is not identical to the record for which the tenprint is being submitted, the Next Generation Identification (NGI) System will reject the tenprint with an NGI error message (L0126).

14.2.5 STATE ELECTRONIC SUBMISSION OF TRIBAL FINGERPRINTS TO THE FBI'S NGI

A III/NFF state may submit civil tenprints under existing state and federal authorities as a service to the tribes located within the state. The tribal entity must have a valid and appropriately coded ORI beginning with the two letter state abbreviation, and the State Identification Bureau (SIB) must agree to serve as the billing agency. The NFF SIB will electronically send the civil tenprints to the NGI. The NFF SIB must coordinate with staff in the Customer Service Group of the FBI's CJIS Division on the appropriate TOT to be used and the specific language to be used in the required Reason Fingerprinted field.

A III/NFF state may electronically submit criminal fingerprint transactions for a tribal agency, provided the SIB and tribal ORIs have the same two-letter state abbreviation and the ORI is coded appropriately to allow the arrest to be added to the FBI Identification Record. Because the arrest is added to the FBI Identification Record, the agency should **not** include a SID on these submissions.

If the tribal arrest is a state charge and the NFF SIB is retaining the arrest in its database, then the NFF SIB must submit the arrest under its current established submission procedures. If the tribal arrest is a federal charge and the arrest information will be maintained in the FBI Identification Record, then the NFF SIB must submit the arrest fingerprints to the NGI as a Criminal Answer Required TOT **without** a SID. The ORIs must contain the same two letter state abbreviation and the tribal ORI must be appropriately coded for the information to be added to the FBI Identification Record.

Please be reminded that, per *NFF Qualification Requirements*, [Section III, Part E](#), the NFF state may retain tribal arrests in the NFF state record but should suppress and **not** release the tribal arrest information for any III request unless the NFF SIB has an agreement with the tribal entities designating the state as the criminal history record holder. [Chapter 8](#) furnishes additional information regarding the *NFF Qualification Requirements*.

Agencies should follow the guidelines listed below to report disposition information from tribal agencies to the CJIS Division. Please call 304-625-9409 with questions related to disposition processing.

If the arrest reported by a tribal agency is a state charge and will be maintained in the state repository, then the disposition should be submitted as a state disposition.

If the tribal arrest is a federal charge and is being maintained by the FBI, then the federal agency should submit the disposition.

SECTION 14.3—PROCESSING NFF STATE RECORD EXPUNGEMENTS

When the state record ceases to exist because all of the data are either sealed or expunged, the state should transmit a DRS (Delete Record SID) message to the III to expunge its SID. Based on the message, the FBI will expunge the state's SID and the NFF record (if it is single-source) and destroy the state's tenprint. If the NFF record is multi-source, the other record(s) will remain in the III. Once the agency submits the DRS, the record will remain in the III for approximately 1 hour to give the state an opportunity to correct the SID if it expunged the information in error.

According to NFF procedures, existing III records indexed with an NFF state's SID become that state's NFF records, i.e., the state can discontinue submitting tenprints identified with these records as Criminal Answer Required TOTs. For many of the records, the FBI has multiple tenprints from the NFF state. Because an NFF state's records are used in lieu of the corresponding FBI records for both criminal and noncriminal purposes, expungement requests for the return of individual tenprints are unnecessary. If the FBI receives this type of expungement request, it will return the request to the state bureau.

**SECTION 14.4—PROCESSING INCOMING DECEASED (DEC) MESSAGES
SUBMITTED BY NFF STATES**

A state's DEC message sent to the FBI to flag its SID as deceased contains an Explanation (XPL) Field that the FBI uses to record the agency reporting the death of the subject and the date of death. If a state's policy dictates that it will consider its state record as deceased based only on fingerprint identification, the characters FII (Fingerprint Identification Indicator) are used in place of the XPL Field in the DEC message.

The FII Field is a fixed-length, 20-character field beginning with the 9-digit ORI of the agency reporting the death followed by a space, a hyphen (-), another space, and the date of death of the subject in YYYYMMDD format, e.g., FII/FL0130000 - 19991130. If the state does not retain the reporting agency's ORI in the state file, it can use its state bureau's ORI as the reporting agency. The FBI will validate the ORI because the FBI includes that information as part of the deceased record. In addition, if the FBI receives a subsequent query containing the deceased FBI UCN, the FBI's response to the requester will include the translation of the ORI and the date in the response.

Example:

```
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR  
RECORD REQUEST FOR FBI/9003000 PUR/C ATN/DET J Q PUBLIC
```

```
RECORD NO LONGER ON FILE - DECEASED  
PER METRO-DADE POL DEPT MIAMI 20091130  
END
```

SECTION 14.5—PROCESSING FBI RECORD CONSOLIDATIONS BY NFF STATES**14.5.1 INTRODUCTION**

When the III consolidates two FBI records and at least one of the records is indexed with a state's SID, the III replaces the SID with an FBI pointer in the retained record. This procedure enables a requester to obtain the FBI's consolidated record until the state consolidates its state records and resumes control of the record in the III by reentering its SID via an MRS message.

However, under the NFF Program, when an NFF record is involved in the consolidation, an FBI pointer cannot be substituted for the NFF state's SID in the retained record because the FBI will not have all the tenprints and additional information to support the records.

14.5.2 FBI RECORD CONSOLIDATION PROCEDURES WHEN EACH RECORD CONTAINS A UNIQUE SID FOR AN NFF STATE

When the FBI consolidates two records and both records contain a unique SID for an NFF state, the III retains the state's SID in the retained III record. Upon receipt of the III's consolidation message (\$.A.CON), the state should flag its records as undergoing file maintenance and provide the proper response to any requester until the records are consolidated. If a state consolidates its records promptly upon receipt of the \$.A.CON message, flagging the applicable records is not necessary, which allows them to be available to record requestors.

14.5.3 FBI RECORD CONSOLIDATION PROCEDURES WHEN ONE RECORD IS AN NFF RECORD (SID INDEXED) AND THE OTHER RECORD HAS AN FBI POINTER FOR THE NFF STATE'S DATA

When the FBI consolidates two records and one of the records is an NFF record and the other one has an FBI pointer for the state's data, the SID from the NFF record will be retained in the consolidated III record. The FBI will send a \$.A.CON message to advise the state of the action it took. The state should flag both of its records as undergoing file maintenance and provide the proper response to any requester. At the state's request, the FBI will fax all of the tenprints of the FBI-supported record to the state bureau. The state bureau then can enter the data for the tenprints it does not have and can remove the maintenance flag(s) when the record is complete and available for dissemination. If a state consolidates its records promptly, flagging the applicable records is not necessary, which allows the applicable records to be available to record requestors.

14.5.4 FBI RECORD CONSOLIDATION PROCEDURES WHEN THE RECORD TO BE KEPT HAS NO DATA FOR THE NFF STATE AND THE RECORD TO BE DELETED HAS THE NFF STATE'S SID

When the FBI consolidates a record that is being retained which contains no data for the associated NFF state, and the record to be deleted has the NFF state's SID, the FBI will index in

the retained record the SID from the deleted NFF record. The FBI will send a \$.A.CON message to the state advising it to modify the FBI UCN in its files.

14.5.5 NOTIFYING CONTRIBUTORS OF FBI RECORD CONSOLIDATIONS

Under the III Program, the FBI will notify contributors of FBI records that have been consolidated and include the agencies that have received a copy of the record within 1 year prior to the consolidation as well as state bureaus and other designated agencies. Likewise, under the NFF Program, the FBI also will notify contributors of FBI records that have been consolidated and include the agencies that have received a copy of the record within 1 year prior to the consolidation as well as state bureaus and other designated agencies. However, under the NFF Program, the FBI also will retrieve the NFF state's record in order to provide a complete response.

SECTION 14.6—MISCELLANEOUS PROCESSING PROCEDURES**14.6.1 RESTRICTION ON SID MODIFICATION**

When a III record becomes an NFF record, the NFF state will no longer be permitted to modify its SID to an FBI pointer via an MRS message so that the FBI becomes responsible for providing the record. The FBI will reject MRS transactions of this type because the FBI will have no criminal history information. Modification of a SID from one value to a different SID value is permitted.

14.6.2 DISPOSITIONS

Because the FBI no longer controls the records from an NFF state, the NFF state does not have to submit dispositions to the FBI for NFF records. The FBI will return to the state bureau for processing any unprocessed dispositions and any subsequent dispositions on hand at the FBI at the time the state becomes an NFF participant. Dispositions for NFF records should be held at the state for 3 to 4 weeks prior to becoming an NFF state. When the state becomes an NFF state, it should continue to send dispositions to the FBI for its FBI-maintained records.

CHAPTER 15—III CRIMINAL HISTORY RECORD SEALING PROGRAM 2

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CHAPTER 15—III CRIMINAL HISTORY RECORD SEALING PROGRAM

SECTION 15.1—INTRODUCTION

15.1.1 INTRODUCTION

The Interstate Identification Index (III) Sealing Program is available to any National Fingerprint File (NFF) or III state with statutory authority or requirement to seal an entire state-maintained record at the national level. Dissemination of sealed records is limited to a specific purpose code(s), as established by the state. Participants in the III sealing program enter an EHN (Enter Supplemental Identifiers) maintenance message to seal state-maintained III records.

A state may be required to seal a record because of a court order or state law. Dissemination of information in sealed records is limited to a specific purpose code(s), as established by the state. If a state agency wants to seal part of a record (and not the entire record itself), agency staff should contact the CJIS Division's staff by e-mail at fbi-iii@leo.gov.

Prior to sending EHN messages to seal criminal history records for a particular purpose, the III state must work with the FBI's CJIS Division to coordinate participation in the III sealing program and to schedule III software changes to allow the state to electronically seal records. To do this, the III state should either send a letter to CJIS Division staff or contact staff by e-mail at fbi-iii@leo.gov.

In 1993, the FBI changed the III to give NFF states the ability to seal state-maintained records in the III. This allowed NFF states to seal records at the national level and limit dissemination under specific purpose codes as established by the NFF states.

In July 2008, the FBI expanded the III Sealing Program to any III state with statutory authorization or requirement to seal an entire state-maintained III record at the national level, thus limiting the record's dissemination under a specific purpose code(s), as established by the III state.

SECTION 15.2—NFF SEALING PROGRAM DESIGN

15.2.1 SYSTEM DESIGN

The III Sealing Program system design sets flags in the III when a state's entire criminal history record is not available for dissemination for a specific purpose code(s). This design incorporates two flags into the system. The FBI and the III Sealing Program participants use the flags to maintain the status of the records; however, the flags are not visible to the requesting states. The seal flags are:

Y-Indicates the state's criminal history record is sealed

N-Indicates the state's criminal history record is unsealed

The III Sealing Program participant sets a seal value of Y whenever a state has a criminal history record that is unavailable for dissemination for a specific purpose code(s). The III Sealing Program participant sets a seal value of N whenever a state maintains a criminal history record that may be disseminated for all purpose codes. The Seal Field (SEL) will be followed by a Y or an N.

15.2.2 RECORD RESPONSE PROCESSING

Responses Resulting from Fingerprint Submissions

The FBI's CJIS Division disseminates information from both NFF states, as well as criminal history records from states which have a state-pointer, instead of the FBI Identification Record to process fingerprint submissions, if authorized for the specific purpose code. The CJIS Division uses the state records only for the purposes for which the FBI is authorized to disseminate the records according to the states' sealing categories. Therefore, when a fingerprint submission is identified with a state record that contains a seal flag of Y, the CJIS Division's staff will not send a \$.A.CHR message to the state for the exempted sealing purpose. For single-source records, the CJIS Division's staff will send the fingerprint contributor a NO RECORD (nonidentification) response. For multi-source records, the CJIS Division's staff will send a \$.A.CHR message to all holders of the record other than the sealing state, and the contributor will receive responses from those sources and the FBI Identification Record, if appropriate. Staff at the CJIS Division will not send a \$.A.CHR message to the sealing state that will not provide its record for the identified purpose.

Terminal Inquiries

When an authorized agency forwards a QH name inquiry to the III for a record that contains an SEL flag of Y and the purpose of the inquiry is for an exempted sealing purpose, the III will not inform the inquirer of the existence of a sealed record. For single-source records, the III will send the inquirer a NO IDENTIFIABLE RECORD ON FILE response. For multi-source records, the

III will only advise the inquirer of the existence of the record from sources other than the sealing state.

Example:

```
2L0112345XXXXHEADER.QH.GA00844902.FBI/9004000.PUR/I.ATN/TEST
```

Response:

```
NL0112345XXXXHEADER  
GA00844902  
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III) FOR  
FBI/9004000.PUR/I
```

When an authorized agency forwards a QR record request to the III for a record that contains a seal flag and the purpose of the request is for an exempted purpose, the III will not send a \$.A.CHR (Criminal History Request Notification) message to the sealing state. For single-source records, the III will send a NO IDENTIFIABLE RECORD ON FILE response. For multi-source records, the III will send a \$.A.CHR message to all sources of the record other than the sealing state(s). The requester will receive a record from only those sources.

15.2.3 INITIAL SETTING AND MAINTENANCE OF SEAL FLAGS

Under the III Sealing Program, the FBI's CJIS Division sets the SEL flag value to N to indicate that the records in the III (newly established or updated) are available for dissemination. The sealing state must modify the seal flag when the record is not available for dissemination.

The State Identification Bureau (SIB) must make programming changes to allow for use of the EHN (Enter Supplemental Identifiers) message to set sealing flags (at a minimum, the addition of the SEL message field code to the EHN maintenance message format). To initially set SEL flags in the III to restrict the dissemination of a sealed record, the state may submit a computer medium of EHN messages. States anticipating becoming a sealing participant should notify the III staff at least three months in advance to advise the FBI's CJIS Division for which purpose codes the sealed records can be disseminated. The FBI's CJIS Division must modify a software code table to identify a state as a participant and the purpose codes for which the sealed records may be disseminated. If a state attempts online sealing transactions before the CJIS Division staff make the software change, the SIB will receive the following single line reject message:

```
``REJECT ORIGINATING AGENCY IS NOT A SEAL PARTICIPANT``
```

After the III sets the initial flags, the state may set or delete SEL flags with online EHN messages. A III state will be allowed to set a flag in any record that contains its State Identification Number (SID); however, in each case, the III state should ensure that the entire state record, not just part of it, is sealed. The III state must use an EHN update transaction

message to set the SEL flag in its record. The EHN message must contain a header, a message key (EHN), the state bureau Originating Agency Identifier, the SID, the FBI UCN, and SEL/Y. The SIB must use the following EHN message format to set and delete SEL status flags. An example of the FBI's response to this type of message is also included.

Example:

```
2L01HEADERXXXX01224.EHN.GAGBI0051.GA00844902.9004000.SEL/Y
```

Response:

```
KL01HEADERXXXX01224  
GAGBI0051  
ACCEPT EHN FOR SID/GA00844902
```

After the III state sets the SEL flag, the state may delete the flag by using another EHN message. The state must use an EHN message and change the SEL/Y to SEL/N to cancel a flag using the above example.

15.2.4 ADDITIONAL SYSTEM ATTRIBUTES

15.2.4.1 ZI Responses

Under the III Sealing Program, the III will display a seal value of Y or N after the Identification for Firearm Sales (IFS) flag in positive ZI responses for each sealed or unsealed record. An example of this message follows:

```
9L01HEADERXXXX01234  
DCFBIWAA2  
IDENTIFICATION SEGMENT III RECORD OF FBI/9004000 2014/09/10  
TESTRECORD,GIACOMO ALONZO R M B MI DOB/19350228 HGT/507 WGT/140  
EYE/BLK HAI/BLK  
SMT/SC R ARM SOC/045508551 FPC/CODIPMAA151211171913  
ADDITIONAL IDENTIFIERS  
DOB/19350228  
SOC/234523788  
SMT/SC L ARM TAT UL ARM  
AKA/  
DLU/19950307 DRE/19921222  
III FLAGS/C40  
GA00844902 (19921222) (IFS/X) (SEL/Y)  
  
BASED ON FBI NUMBER ONLY  
  
THIS RECORD CAN BE USED FOR ADMINISTRATIVE PURPOSES ONLY AND CANNOT BE
```

DISSEMINATED FOR ANY OTHER PURPOSE.
END

15.2.4.2 Consolidations and Sealed Records

The III \$.A.CON (FBI Number Consolidation) interface message and the accept message are modified to include the SEL Field when these messages are issued in response to an MRS (Modify Record SID) message.

If the SEL flag is active in both records being consolidated, the SEL flag will remain active. However, if a corresponding FBI-maintained pointer exists in the record being consolidated and the SEL flag is active in only one of the records, the SEL flag will revert to inactive (N), and the III will add a caveat to the \$.A.CON message. The caveat will advise the state to review the consolidated record to determine the correct status flag. If the record should remain sealed, the state must transmit an EHN message via the III to set the SEL flag to a Y status.

Consolidation Message with Sealing Caveat:

```
$.A.CON.SID/FL000013.FBI/9093399.NCIC III RECORD CONSOLIDATION  
CANCEL.SID/FL0000235.FBI/9000600.SEAL FLAG DELETED. IF A REVIEW OF THE  
CONSOLIDATED RECORD INDICATES THAT THE SEAL FLAG IS NECESSARY, SUBMIT  
EHN TO SET SEALED FLAG
```

15.2.4.3 Assuming Control of a Sealed Record

When a state submits an MRS message to assume responsibility of a record in the III, the III will respond with an accept message. For those states participating in the III Sealing Program, the accept message will include the current SEL status for the record on the last line of the accept message.

MRS Accept Message to Sealing Participant:

```
KL01HEADER111101212  
FL0370100  
ACCEPT SID/FL123456 FOR FBI/9004500  
III RECORD IS SINGLE-STATE  
SEL/N
```

15.2.4.4 Current Information Posted to a Sealed Record

When a current arrest fingerprint submission from the sealing state is identified to a sealed record or when a want is posted to a sealed record, the III will send the \$.A.SRN (Sealed Record Notification) unsolicited message to notify the sealing state of the current activity and request the state to verify the seal status.

Example:

\$.A.SRN.SID/FL000013.FBI/9093399.RECENT ACTIVITY ON SEALED RECORD.
PLEASE VERIFY SEAL STATUS

15.2.4.5 III Synchronization Record Layout

III participating states must conduct biannual audits of their III records. The FBI provides an electronic copy of the states' data in the III and current III status. The III synchronization medium includes the SEL status flag as one of the data elements for which it checks for discrepancies for states participating in the III Sealing Program. The header title for this position will be SEL. The SEL status flag is designated in position 86 of the III synchronization record layout. The alphabetic character Y is placed in this position if any part of the record is sealed or an alphabetic character N is placed in this position if the record is not sealed. If the sealing state detects a discrepancy in the SEL status flag, it must forward an EHN update message to the FBI modifying the flag accordingly. For those states not participating in the III Sealing Program, this position should be ignored. More detailed information regarding the III synchronization can be found in [Appendix S](#) of this manual.

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CHAPTER 16—WANTED PERSON AND SEXUAL OFFENDER INFORMATION AND FLASH NOTICES

SECTION 16.1—INTRODUCTION

This chapter describes the procedures for handling wanted person information maintained at the FBI's CJIS Division and for processing flash notices submitted by National Fingerprint File (NFF) states. In addition, this chapter addresses how adding a sexual offender registration changes an Interstate Identification Index (III) criminal history record.

[Section 16.2](#) describes the procedures for processing wanted person information for both III and NFF states.

[Section 16.3](#) addresses how sexual offender information appended to a criminal history record can result in a record status change that applies to both the III and NFF states.

[Section 16.4](#) describes the procedures for processing flash notices affecting only NFF participating states.

SECTION 16.2—PROCESSING WANTED PERSON INFORMATION

An authorized agency should enter the FBI UCN in a new or existing wanted person record. When the agency enters the FBI UCN into the wanted person record, the same wanted information is posted in the subject's criminal history record in the NGI (Next Generation Identification) System. The staff at the FBI's CJIS Division will then notify a wanting agency of subsequent fingerprints received that are identified with the wanted person. Also, when a clear, cancel, or locate transaction is processed to the wanted person record, the III will transmit a notification to the agency to remove the wanted notice from the criminal history record.

When an agency requests a record via the III, the III will provide the wanted person information on the Identity History Summary (IdHS). If an agency enters want information to an existing single-source record, the record becomes multi-source.

When the NGI identifies a tenprint submission with a record containing active wanted person data, the III will notify the wanting and arresting agencies immediately via the International Justice and Public Safety Network (Nlets). The FBI provides a copy of the IdHS containing the wanted person data to the tenprint contributor.

If a III or NFF state does not provide wanted person information as part of its criminal history record and the state enters a "want" from a nonfederal agency into the FBI record, the FBI will provide the wanted person information. Thus, a record that may be single-source based on arrest information will become multi-source based on the presence of want data. The addition of the want (to include a federal or an out-of-state want) to the FBI record will generate a \$.A.MSO (multi-source offender) message to the state. Conversely, the cancellation of a want will generate a \$.A.SSO (single-source offender) message.

A ZI (Record Maintenance) message response format indicates a unique FBI pointer when the FBI is responsible for providing the wanted person information. The pointer will be formatted similar to other FBI pointers, e.g., FLWP062060 data where FL is the state code, WP indicates the wanted person data to be provided by the FBI, and 062060 is the date of birth.

SECTION 16.3—SEX OFFENDER NOTIFICATION IN CRIMINAL HISTORY RECORDS

The National Sex Offender Registry (NSOR) data contained in an FBI IdHS is obtained from the NSOR within the National Crime Information Center (NCIC). When all record information pertaining to a subject is provided by a III state(s), the FBI's CJIS Division will respond to an inquiry with an FBI IdHS containing only the NSOR information. The addition of the NSOR data to a single-source record will change the record status to multi-source. The state of record will receive a \$.A.MSO (Multi-Source Offender Status) unsolicited message to change the status of its record.

SECTION 16.4—PROCESSING FLASH NOTICES

Agencies establish flash notices based on requests from county, state, and federal probation and parole authorities; pretrial diversion coordinators; and other criminal justice agencies. These authorities submit a flash request form to CJIS Division staff when the organization wants to be informed of any new criminal activity while the subject is on probation or parole.

The FBI requires that the subject's DOA and the FBI UCN be included on the form. If the FBI UCN is not known, the contributor must attach a completed criminal tenprint. If any of this information is missing or if the DOA is not on file in the subject's record, the FBI will return the form to the contributor. When the FBI identifies a criminal tenprint with a record containing a flash notice, the FBI will send a copy of the IdHS to the agency that submitted the flash notice. If the tenprint contributor indicates that a copy of the record should be provided, the FBI will send the IdHS to the agency.

Under the NFF Program, the FBI cannot process a flash notice from an NFF state because there is no matching Date of Arrest (DOA) on file. NFF states append these flash notices to their state records and/or send them to the NCIC. Prior to NFF participation, a state should advise all affected agencies that the flash notice service is being discontinued. The FBI will return to the state bureau all flash notice forms received from nonfederal agencies in the NFF state.

With the implementation of the Supervised Release File in the NCIC in 1999, authorized correctional/supervisory agencies have the online capability to enter, modify, and cancel flash notices; however, flash notices entered into the NCIC are not appended to the IdHS. Additional information can be found in the Supervised Release File of the *NCIC Operating Manual*.

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CHAPTER 17—FILE AUDITS

SECTION 17.1—INTRODUCTION

This chapter furnishes information about the synchronization audit process for the Interstate Identification Index (III) and state files. III synchronization audits conducted by a state participating in the III continue when the state becomes a National Fingerprint File (NFF) participant. Refer to [Chapter 4, Section 4.4](#), and [Appendix S](#) of this manual for information on the III synchronization audit process.

[Section 17.2](#) of this chapter provides information on the audit process which is specific to states participating in the NFF.

SECTION 17.2—FREQUENCY OF SYNCHRONIZATION AUDITS

As discussed in [Chapter 4, Section 4.4](#), of this manual, the state staff conducts synchronization audits of the III and state files; states may opt to perform two additional audits per year. The CAU staff recommends that all III and NFF states conduct the additional audits, which serve as a significant quality control feature, especially if the states are experiencing excessive discrepancies caused by lost messages or other system problems.

As per the state *NFF Qualification Requirements*, [Section II, Part C](#), NFF states must keep their synchronization discrepancy reports on file from the prior two synchronization audits. During a subsequent audit, the CAU staff verifies a sampling of discrepancies from the prior two audits to ensure that the NFF has resolved all prior discrepancies. Detailed information pertaining to the III synchronization is located in [Appendix S](#) of this manual.

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*Message only applies to NFF participating states

APPENDIX A**FIELD EDIT SPECIFICATIONS****INTRODUCTION**

Field edit specifications presented in this appendix pertain to data fields used for III inquiries, record requests, file maintenance, and \$.A. unsolicited messages.

The formats for these messages have three basic requirements:

1. Whenever an agency uses a message field code (MFC), the MFC must be followed by a slash (/).
2. An agency must use a period (.) to end each data field in the message except for the last data field prior to the end of transmission (EOT), in which case the period is optional.
3. Because the period is used as a field delimiter, an agency must never use a period within a data field.

If these messages do not meet the basic requirements, the agency will receive a reject message.

FIELD EDIT SPECIFICATIONS

ADR Address—The Mailing Address Field (street address or post office box) is optional for QR (Query Record) request messages. When an agency uses the ADR Field, it must contain 3–30 alphabetic, numeric, and/or special characters. Agencies must use the ADR Field in conjunction with the DPT, CIS, and ZIP MFCs.

AKA Alias—The Alias Field is used to add or cancel a supplemental name(s) (AKAs). The edits for an AKA are the same as those for the name (NAM). When canceling an AKA, the agency must enter the name in the XHN cancellation message using the exact spacing and spelling that is used in the record on file or the agency will receive a reject message for a non-matching record.

ATN Attention—The Attention Field is required for QR record request messages and is optional for QH (Query Index) inquiry messages. It must contain 3–30 alphabetic, numeric, and/or special characters. When including the record recipient's rank and/or initials for the recipient's first and/or middle name, the agency should not use periods (e.g., Det. J. Q. Public should be entered as ATN/DET J Q PUBLIC). Because the period is used as a field delimiter, an agency must never use a period within a data field.

BLD Building—The Building Field is optional for QR record request messages; however, when an agency uses the BLD Field, it must contain 3–30 alphabetic, numeric, and/or special characters.

CCT Court Count Number—The CCT Field is a 1–2 character sequential numeric assigned to each court count. Permissible values are 01–40. If a message contains any other values, the agency will receive a reject message.

CIS City and State—The City and State Field is optional for QR record request messages; however, when an agency uses the CIS Field, it must contain 4–30 alphabetic, numeric,

and/or special characters. A comma between city and state is required. At least one alphabetic character must precede the comma, and at least two alphabetic characters must follow the comma. An agency must use the CIS Field in conjunction with the DPT, ADR, and ZIP MFCs.

COL Court Offense Literal—The COL is a free-text field to describe the offense charged in a court count. The field must contain 1–300 alphabetic, numeric, and/or special characters. The first character must not be blank, or the agency will receive a reject message.

CON Court Offense Numeric—The CON is a four-character arrest offense numeric assigned to court counts to identify the offense committed.

CPL Other Court Sentence Provision Literal—The CPL is a free-text field used to describe dispositions and/or sentence provisions. The field must contain 1–300 alphabetic, numeric, and/or special characters.

CRI Controlling Agency Identifier—The CRI Field consists of the ORI (Originating Agency Identifier) of the organization controlling the transaction when that organization is different from the organization submitting the transaction. The ORI File chapter of the *NCIC Operating Manual* provides information on the structure and use of ORIs.

DMI Disposition Maintenance Indicator—The DMI Field is an alphabetic indicator which indicates the type of maintenance to be performed on a subject's criminal history record when disposition submission requests are received.

DOA Date of Arrest—The Date of Arrest Field is provided only in certain III \$.A. unsolicited messages. The first position normally is blank followed by the eight-character DOA in a CCYYMMDD format. However, a subject could be arrested more than once on a given day or the date of arrest is not on the fingerprint submission and a different date must be used to fill the field. When these circumstances arise, the first position of the DOA Field will be an alphabetic character.

DOB Date of Birth—The Date of Birth Field must contain eight numeric characters in a CCYYMMDD format. The two characters designating the month must be in the range of 01–12. The two characters designating the day must be at least 01 and cannot exceed the maximum days for the given month.

DPT Department—The Department Field is optional for QR record request messages. However, when an agency uses this field, it must contain 3–30 alphabetic, numeric, and/or special characters. An agency must use the DPT Field in conjunction with the ADR, CIS, and ZIP MFCs.

DTE Date of Inquiry—The Date of Inquiry Field may be provided in a III \$.A.CHR unsolicited message. When an agency uses the DTE Field, it must consist of eight numeric characters in the CCYYMMDD format.

FBI

UCN FBI Universal Control Number—The FBI UCN Field may consist of 1–9 alphabetic or

numeric characters. [Appendix F](#) of this manual furnishes the various formats for an FBI UCN and an explanation of the check-digit calculation routine.

- FII Fingerprint Identification Indicator**—An agency uses this field, the Fingerprint Identification Indicator Field, to report the death of a subject. The FII is a fixed-length, 20-character field that consists of the ORI of the reporting agency as the first 9 characters followed by a space, a hyphen (-), a space, followed by the date of death in the CCYYMMDD format (e.g., FII/FL0130000 – 19910610). The III will validate the ORI and date of death used in this field. If a state does not retain the reporting agency's ORI in its state file, it can use its state bureau ORI as the reporting agency.
- FPC Fingerprint Classification**—The NCIC Fingerprint Classification Field is a fixed-length, alphabetic or numeric 20-character field. If an agency established the record after July 28, 1999, the FPC Field will be blank.
- HDR Header**—The Header Field is a sequence of characters recognized by the III and is used to provide message information for the CJIS System Agency (CSA). Each message transmitted to the III requires a message header of at least 9 but not more than 19 alphabetic, numeric, and/or special characters. The first four characters of a III message from the user must be 2L01. The remaining 15 characters are used by the originating agency to code the transaction for routing and/or record-keeping purposes. The III response to any message begins with a header in which the first four characters identify for the receiving database the type of response that will follow. When the incoming message header consists of fewer than 19 characters, the III will left-justify the message header in the response and will pad the header with blanks to create 19 characters.
- IFS Identification for Firearms Sales**—The Identification for Firearms Sales Field must contain a D (disqualification) or an X (unknown). The III populates the field with an X as a default.
- MNU Miscellaneous Identification Number**—The Miscellaneous Identification Number Field must contain 4–15 characters or the agency will receive a reject message. The numeric characters 0-9 are allowed; however, the string of numeric characters cannot be 123456789, 000000000, or 999999999. The first two characters must be alphabetic and followed by a hyphen (-). The following list provides the acceptable codes for the first two positions.

<u>Code</u>	<u>Definition</u>
AF*	Air Force Serial Number
AN	Nonimmigrant Admission Number
AR	Alien Registration Number

AS*	Army Serial Number, Air National Guard Serial Number, or National Guard Serial Number
BF	Bureau Fugitive Index Number
CG	U.S. Coast Guard Serial Number
CI	Canadian Social Insurance Number
FN	Fingerprint Identification Number (DHS only)
IO	Identification Order Number
MC	Marine Corps Serial Number
MD	Mariner's Document or Identification Number
MP	Royal Canadian Mounted Police Identification or Fingerprint Section (FPS) Number
NA	National Agency Case Number
NS	Navy Serial Number
OA	Originating Agency Police or Identification Number
PI	Personal Identification Number (state issued only)
PP	Passport Number
PS	Port Security Card Number
SS	Selective Service Number
VA	Veterans Administration Claim Number

*The serial number following AF or AS must contain only numeric characters.

NOTE: The FBI's CJIS Division uses the two-character code NA when processing certain fingerprint submission types submitted by the Defense Investigative Service. This code is not a valid entry for any other agency and will not appear in response to QH inquiry messages.

NAM Name—The Name Field must contain 3–50 characters and entered in the following order:

Last name.

Comma (mandatory).

Space (optional).

First name or initial.

Space (include the space only if the middle name or initial follows).

Middle name(s) or initial(s), if any. (A space should separate each middle name and/or initial.)

Suffix (e.g., Sr., Jr.), if any.

For example:

Smith, John Henry

Smith, John Henry Jr

Smith, John H Q

Smith, John Henry Lewis

The following edits apply to the name:

- The alphabetic characters A–Z and the numeric 0 are allowed. However, if a numeric 0 is used, the III will convert it to an alphabetic O in the response.
- The comma separating the last name and first name is mandatory and is the only comma permitted. A first name or initial must follow the comma.
- A space cannot immediately precede the comma. A space after the comma is optional, but a double space after the comma is not permitted.
- A hyphen is the only other special character allowed. A hyphen cannot be preceded or followed by a space.

The minimum name length is three characters, i.e., one last name character, a comma, and first initial.

In most cases, the name contained in the III \$.A. unsolicited messages NPR, RNP, PIR, RPR, and NMS will be the same as the name on the fingerprints submitted by the arresting agency. In cases where the name is not the same, the III will modify the name to meet III editing and coding requirements. The III will suppress hyphens entered for coding and editing requirements in \$.A. unsolicited messages. Also, the III will convert a numeric 0 to an alphabetic O.

Names with apostrophes (e.g., O’Neal) should be condensed by eliminating the apostrophe (e.g., ONEAL), or by using a space (blank) in place of the apostrophe (e.g., O NEAL).

- NCF Nlets Control Field**—The Nlets Control Field is a fixed-length, alphabetic, numeric, and/or special ten-character field. ([Appendix E](#) of this manual furnishes more information on this field.)
- OAC Originating Agency City**—The Originating Agency City Field must contain 1–20 alphabetic or numeric characters or the agency will receive a reject message.
- OAN Originating Agency Name**—The Originating Agency Name Field must contain 1–20 alphabetic or numeric characters or the agency will receive a reject message.
- OCA Originating Agency Case**—The Originating Agency Case Number must contain 1–20 alphabetic, numeric, and/or special characters or the agency will receive a reject message.
- ORI Originating Agency Identifier**—The Originating Agency Identifier Field is a nine-character alphanumeric code assigned to an agency that has met the established qualifying criteria for ORI assignment. This field identifies an authorized agency when the agency performs III transactions. The ORI File chapter of the *NCIC Operating Manual* provides information on the structure and use of ORIs.
- ORT Inquiring Agency Translation**—The Inquiring Agency Translation Field provides the literal translation of a III ORI (1–50 alphanumeric characters).
- PUR Purpose Code**—The Purpose Code Field is a one-character alphabetic field required for QH, QR, and ZI messages and optional for ZR and ZRS messages. Nine alphabetic characters are available for use in the III. ([Chapter 3](#) of this manual furnishes the definitions of the purpose codes.) III maintenance messages do not require a purpose code. The following table provides the purpose code(s) that can be used with each message type:

<u>Message Type</u>	<u>Purpose Code Allowed</u>
QH	A*, C, D, F, H*, I*, J, S*, X*
QR	A*, C, D*, F, I*, J, S*, X*
ZI	A*
ZR	The purpose code is optional. When it is used, it must be either A,* C, or J. When it is not used, the III interprets the ZR transaction to be for an administrative file maintenance purpose.

ZRS The purpose code is optional. When it is used, it must be either A,* C, or J. When it is not used, the III interprets the ZRS transaction to be for an administrative file maintenance purpose.

*The use of these purpose codes is restricted to specific agencies. Also, QH inquiry messages containing PUR/I must be made using either the individual's FBI UCN or SID Number.

RAC Race—The Race Field consists of a one-character alphabetic field. ([Chapter 3, Section 3.3.3](#), furnishes race code definitions.)

SEL Seal—The Seal Field consists of a one-character alphabetic field that must contain either a Y or N or the agency will receive a reject message

SEX Gender—The Gender Field consists of a one-character alphabetic field that must contain one of the following: M (male), F (Female), or X (unknown) or the agency will receive a reject message.

SID State Identification Number—The State Identification Number Field must contain 3–10 alphabetic, numeric, and/or special characters. The first two characters must be a valid state code. Embedded blanks are not permitted.

SMT Scars, Marks, and Tattoos—The Scars, Marks, and Tattoos Field is a ten-character alphabetic field. The *NCIC Code Manual* contains the SMT codes that are available for use.

SOC Social Security Number—The Social Security Number Field is a fixed-length, nine-character numeric field. The SOC in a QH inquiry message or EHN update message cannot contain hyphens (-). A QH inquiry message containing a SOC or MNU of 000000001 or 111111111 will not result in a reject message as long as the field contains nine digits. However, the III does not search these numbers.

TME Time Inquiry—The Time Inquiry Received Field is a fixed-length, four-character numeric field in a III \$.A.CHR unsolicited message, which indicates the time at which the III received the inquiry.

TMZ Time Zone—The Time Zone Field is a fixed-length, three-character alphabetic field in a III \$.A.CHR unsolicited message, containing either EST or EDT.

TOS Type of Search—The Type of Search Field is a fixed-length, 24-character alphabetic field identifying whether a search is based on an FBI UCN or SID Number.

UCN Universal Control Number—NGI term for FBI identification number (FBI UCN).

XPL Explanation—The Explanation Field is a free-text, 75-character alphabetic, numeric, and/or special character field mandatory for DRS deletion messages and optional for DEC deceased messages. An XPL Field also is appended to a \$.A.EXP (FBI UCN Expunged) message when the FBI deletes a record. In addition, an XPL Field will be

appended to a \$.A.DEC (deceased) unsolicited message when the FBI's CJIS Division declassifies a record based on fingerprint identification.

ZIP Zip Code—The Zip Code Field is optional for QR record request messages. However, when this field is used, it must contain either five or nine numeric characters. When the ZIP in a QR record request message contains nine numeric characters, the III will insert a hyphen (-) between the fifth and sixth positions of the ZIP in the \$.A.CHR message sent to the state(s) of record. An agency must use the ZIP in conjunction with the DPT, ADR, and the CIS MFCs.

APPENDIX B

INTERSTATE IDENTIFICATION INDEX BASIC TECHNICAL INFORMATION

MULTITHREADING CONFIGURATION OF THE III DATABASE

The Interstate Identification Index (III) operates in a multithreaded environment, which means the III may process multiple messages simultaneously. The system processes incoming III messages at a higher priority than fingerprint submissions and document processing.

The III uses multiple threads for processing III messages within the Next Generation Identification (NGI) environment. If necessary, the staff at the CJIS Division can increase or decrease the number of threads to improve performance. The III uses one thread for processing maintenance messages (DEC, DRS, DSP, EHN, MRS, XHN) from III state agencies and uses and multiple threads for processing inquiry messages (QH, QR, ZI, ZR, ZRS). With this configuration, the III processes maintenance messages one at a time in the order they are received. In addition, the III can process many inquiry messages simultaneously, and the III returns responses in the order they are completed—not necessarily in the order they are received.

Systems interfaced with the National Crime Information Center (NCIC) should not be affected by this configuration unless they are programmed to account for message responses on a one-to-one basis.

FORMATTING III RESPONSES

FBI Identity History Summary (IdHS) records and all III responses are formatted with a maximum of 74 characters per line (72 text characters and 2 line control characters).

NCIC CHARACTER SET (SPECIAL CHARACTERS)

The NCIC character set defines alphabetic, numeric, and special characters that state agencies may use in III inquiries, record requests, and maintenance messages. To ensure consistency between the NCIC and the III, the characters used to access the III database are the same as those included in the NCIC character set.

The NCIC character set includes alphabetic characters A through Z, numeric characters 0 through 9, comma (,), dollar sign (\$), ampersand (&), dash or hyphen (-), blank space (), slash (/), left parenthesis ((), right parenthesis ()), asterisk (*), semicolon (;), pound sign (#), percent symbol (%), apostrophe ('), and plus sign (+). If an agency uses invalid characters, such as the question mark (?) or the exclamation point (!), the agency will receive a reject message. Because the period (.) marks the end of a field, agencies must not use the period within a field.

TRANSMISSION OF ALPHABETIC O AND NUMERIC 0

All III messages are received via the FBI telecommunications network(s). Upon receipt of a III message, the NCIC converts all alphabetic Os to numeric 0s (except for those contained in the

header) before passing the message to the III. However, the III will not process zeros in alphabetic fields, nor will it store zeros in alphabetic fields. Therefore, the III converts any zeros in these fields to alphabetic Os. When the III generates outgoing messages, alphabetic fields (name, place of birth, etc.), field abbreviations in Message Field Codes (MFCs), and alphabetic positions in alphanumeric fields (two-character state codes in the ORI and SID Fields, etc.) will contain alphabetic characters. This also applies to III \$.A. unsolicited messages.

NOTE: As mentioned above, the NCIC does not convert alphabetic Os to numeric 0s in the header. However, the third position of the incoming message header must be a numeric 0. Otherwise, the NCIC will reject the message as a header error, i.e., REJ HEADER ERR. If an agency does not use the numeric 0 in the third position of the header, the III will reject the message as well.

APPENDIX C**REJECT MESSAGES****INTRODUCTION**

The III transmits a reject message as a response to inform the user that the III did not accept a message and identifies the reasons why. The header for reject messages will always begin with the alphabetic character J. There are two types of reject messages: multiple-line reject messages and single-line reject messages.

MULTIPLE-LINE REJECT MESSAGES (MLRM)

The Multiple-Line Reject Messages (MLRM) are multiple lines in a reject message that explain to the sending agency the errors associated with the actual data in an incoming III message. The MLRM always repeats the incoming message and then identifies the error(s) contained in the message. Sometimes the error list that the III provides will be a partial list and will not reflect all of the errors in a message. This happens because certain types of errors prevent editing beyond the field containing the error; therefore, the error list identifies only that error (plus any prior errors). In other cases, the detected error(s) will not prevent the computer from editing the entire message, in which case the error list will be complete and will identify all detected errors. As a result, before an agency retransmits the message, it should review its transaction to ensure that it contains no errors.

EXAMPLE OF AN INCOMING MESSAGE AND A MLRM RESPONSE:**Incoming Message:**

```
2L01HEADERXXXXX0123.QH.MD021013A.FBI/9000001.PUR/K.ATN/HAMMER
```

Reject Message:

```
JL01HEADERXXXXX0123
MD021013A
REJECT FOR THE FOLLOWING REASON(S)
FIELD ERROR PUR
REJECT QH.FBI/9000001.PUR/K.ATN/HAMMER
END
```

The MLRM shown above reflects an error involving the improper use of a purpose code. Purpose Code K is not a valid purpose code as indicated in the REJECT message field (FIELD ERROR PUR). In the above example, K is not a valid purpose code.

The following list provides a brief explanation of each of the lines in the example.

1. **JL01HEADERXXXXX0123**—This line of the reject message is the response header indicating that the III rejected the message. The first four characters of the response header for an MLRM response will always be JL01. The complete incoming message that was rejected follows the response header in an MLRM.
2. **MD021013A**—This line is the ORI of the agency that sent the incoming message.
3. **REJECT FOR THE FOLLOWING REASON(S)**—This line, which will always begin on the line after the ORI line, introduces the list of errors in the MLRM.
4. **FIELD ERROR PUR**—This line identifies and specifies the errors contained in the sending agency's message. The III will list a maximum of 10 errors in this line for an MLRM.
5. **REJECT QH.FBI/9000001.PUR/K.ATN/HAMMER**—This line begins with the word REJECT followed by the remaining information from the sending agency's original message (indicating the type of message: QH inquiry).
6. **END**—This line indicates the end of the reject message.

TYPES OF ERRORS THAT MAY APPEAR IN AN MLRM

The following list furnishes the types of errors that may appear in an MLRM. Where applicable, the III will replace XXX with the appropriate Message Field Code (MFC).

01 DUPLICATE XXX

Duplicate message field code (MFC). The same MFC appears more than once in the request.

02 EXCESSIVE FIELD XXX

This message will be transmitted when one of the following occurs:

- 1) The III EHN or XHN Request contains more than 9 supplemental identifiers; or,
- 2) The number of supplemental identifiers in the III EHN Request, when added to the number of identifiers already in the III record for that field exceed the maximum allowed.

03 [UNASSIGNED]

04 RECORD NO LONGER ON FILE - DECEASED PER (OAN + OAC + ORG + DOD)

An attempt is made to update (CPI, DEC, DRS, DSP, EHN, MRS, XHN) a III record that has been purged as deceased (Audit Code = N).

05 RECORD NO LONGER ON FILE - DELETED (Date)

An attempt is made to update (CPI, DEC, DRS, DSP, EHN, MRS, XHN) a III record that has been deleted (Audit Code = W).

06 RECORD NO LONGER ON FILE - RETIRED (Date)

An attempt is made to update (CPI, DEC, DRS, DSP, EHN, MRS, XHN) a III record that has been purged because the subject is over the maximum age (Audit Code = A).

07 RECORD NO LONGER ON FILE - EXPUNGED (Date)

An attempt is made to update (CPI, DEC, DRS, DSP, EHN, MRS, XHN) a III record that has been expunged (Audit Code = E).

08 RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/(FBI UCN) (Date)

An attempt is made to update (CPI, DEC, DRS, EHN, MRS, XHN) a III record that has been consolidated (Audit Code = C).

09 NOT AUTHORIZED FOR PUR/I

A QH or QR message is received from an authorized agency that is not allowed access for PUR/I (non-criminal justice employment/licensing).

10 FBI/(FBI UCN) NOT ON FILE

This message will be transmitted when one of the following occurs:

- 1) An attempt is made to update (CPI, DEC, DRS, EHN, MRS, XHN) a III record, and the FBI UCN is not on the file, or the AUD (Audit Code) is equal to 'U' (Unassigned FBI UCN), or the AUD equals 'P' (Non-Criminal) or 'T' (No-Print), or AUD equals 'M' (CICONV, Manual)
- 2) FBI UCN in TI\$ request does not exist.
- 3) An attempt is made to update (DSP) a III record, and the FBI UCN is not on the file, or the AUD (Audit Code) is equal to 'U' (Unassigned FBI UCN), or the AUD equals 'P' (Non-Criminal) or 'T' (No-Print).

11 FIELD ERROR XXX

- 1) The data in the field identified by the MFC does not match the criteria for that field.
- 2) The value in the field identified by the MFC is invalid.
- 3) The ORI in the Header is invalid.

12 NOT AUTHORIZED

An Agency authorized III access only for national security purposes (PUR/S) transmits a QH or QR message containing a valid purpose code other than S.

13 SUBMITTER NOT AUTHORIZED

This response will be transmitted when the ORG of the ORI submitting the III-PART-DSP-REQ transaction has not completed testing with the FBI.

14 INCOMPLETE DOB NOT ALLOWED

This response will be transmitted when the QH inquiry contains an incomplete or partial date of birth.

15 INVALID MFC XXX

The III Request contains one of the following errors:

- 1) Invalid message field code (MFC);
- 2) Wrong MFC for file involved;
- 3) MFC in the III Request does not agree with message key (MKE) used;
- 4) MFC is not followed by a slash; or,
- 5) Period is erroneously included within a data field.

16 MISSING DATA XXX

The field identified by the MFC was left blank in the inquiry, record request, TI\$ Request or update transaction.

17 SID ON FILE FOR FBI/(FBI UCN)

An attempt is made to add a SID number that is already on file in the same or a different FBI UCN, or to modify a SID number to the same value as one already on file. The FBI UCN shown will be the FBI UCN corresponding to the SID that is already on file. An attempt is made to submit a III Ident Message with a SID that is on file for a different FBI UCN.

18 SUPPLEMENTAL IDENTIFIERS CANNOT BE DELETED FROM MULTISTATE RECORD

This message will be transmitted when a designated state agency in a III participating state attempts to cancel a supplemental identifier(s) (XHN message) from a multistate record. The ORI will appear in the reject message.

19 WRONG, MISSING, OR EXCESSIVE SEARCHABLE IDENTIFIER

This message will be transmitted when one of the following exists:

- 1) DOB is used as an identifier in a III Request (DEC, DRS, EHN, MRS, XHN) when the state's SID is in the III record;
- 2) Required searchable identifier is missing from the inquiry, TI\$ Request or record request transaction; or,
- 3) Excessive searchable identifier is used in the inquiry, TI\$ Request or record request (e.g., a QR message containing both the FBI UCN and SID number).

20 SID NOT ON FILE FOR RECORD - EXPUNGED (DDE)

The SID used in the III Request (CPI, DEC, DRS, DSP, EHN, MRS, XHN) matches a record in the III file, but the III-POINTER on file is set to indicate the record is expunged.

21 SID NOT ON FILE FOR RECORD - DECEASED (DDE)

The SID used in the III Request (CPI, DEC, DRS, DSP, EHN, MRS, XHN) matches a record in the III file, but the III-POINTER on file is set to indicate the record as deceased.

22 XXX NOT ON FILE FOR THIS RECORD

The DOB or SID used in the III Request (CPI, DEC, DRS, DSP, EHN, MRS, XHN) is not on file in the III for the FBI UCN indicated.

23 XXX ON FILE AS BASE XXX

The AKA in an XHN request is the same as the NAM in the base III record, and/or the DOB in an XHN request is the same as the DOB in the base III record.

24 MAILING ADDRESS INFORMATION IS REQUIRED TO REQUEST THIS RECORD

Under some circumstances, the (non-reject) response to a QR request must be mailed to the agency that submitted the request originally (i.e., line table driven by the III-PART-CODE-TABLE). If the requesting agency does not provide mailing address information, this reject message will be sent.

25 SUPPLEMENTAL IDENTIFIER NOT ON FILE

XXX/(Supplemental Identifier)

The supplemental identifier(s) in the XHN message could not be located in MF-IDENTIFICATION-DATA. Each identifier not located will be preceded by the appropriate message field code (XXX) followed by a slash, and will appear on a new line. The error message will be generated for each identifier not located and will appear on the line preceding each message field code (XXX).

XXX = AKA/(also known as name)
 DOB/(date of birth)
 MNU/(Miscellaneous Identification Number)
 SMT/(Scars, Marks, Tattoos)
 SOC/(Social Security Numbers)

26 SID or FBI NUMBER REQUIRED FOR PUR/I.

A QH transaction with a PUR of 'I' did not contain a SID or FBI UCN.

27 INVALID PUR

A QH or QR message is received from an unauthorized agency that is not allowed access for PUR (Purpose Code) 'S' (Security Clearance). III access for the national security purposes is restricted to those agencies authorized by the National Security Clearance Act.

28 UNSEARCHABLE IDENTIFIER XXX

XXX (MFC) = NAM, MNU, FNU, SID

- 1) A QH inquiry is received with an invalid NAM or MNU. Send reject message 'UNSEARCHABLE IDENTIFIER NAM' or 'UNSEARCHABLE IDENTIFIER MNU';
or
- 2) A DSP request is received with an invalid FBI UCN or SID. Send reject message 'UNSEARCHABLE IDENTIFIER FNU' or 'UNSEARCHABLE IDENTIFIER SID'

29 XXX CYCLE NOT ON FILE FOR THIS RECORD

- 1) The court cycle identified in the (DSP) III Request is not on file in the specified record.
- 2) DOA is not on file for this request.

SINGLE-LINE REJECT MESSAGES (SLRM)

The Single-Line Reject Message (SLRM) is a single-line response informing the sending agency that the III has rejected its message. The reason for the error will be listed on the same line with the word REJECT. The SLRM will not contain the incoming message and will identify only one reason for the rejection. The message may or may not contain the sending agency's ORI. The SLRM pertains to formatting and technical errors such as:

- A computer error or an equipment problem occurred before the message could be completely processed.
- The III was in restricted service or out of service when the transaction was received.
- An error was found in one of the first three fields of the transaction, i.e., header, message key, or ORI.
- The ORI in the transaction was valid, but the agency was restricted from III access; the agency could not perform the transaction indicated by the message key; or the agency was not authorized to use Purpose Code A.
- The transaction was incomplete because it did not contain a message field code or the field data to be added, modified, or deleted.

EXAMPLE OF AN INCOMING MESSAGE AND SLRM WITH THE ORI SHOWN IN THE REJECT RESPONSE

Incoming Message:

2L01HEADERXXXXX.QR.VA094017B.FBI/9666000.PUR/V.ATN/HAMMER

Reject Message:

JL01HEADERXXXXX
VA094017B
REJECT NOT AUTHORIZED

The following list provides brief explanations for each of the lines contained in the example.

1. **JL01HEADERXXXXX**—This line indicates the message was rejected. JL01 is the response header followed by the remaining information from the sending agency's header information.
2. **VA094017B**—This line indicates the ORI of the sending agency.
3. **REJECT NOT AUTHORIZED**—This line indicates the message was rejected followed by the reason for the reject message. This line does not display the sending agency's original message information in the SLRM.

EXAMPLE OF AN INCOMING MESSAGE AND A SAMPLE SLRM REJECT MESSAGE WITHOUT AN ORI

Incoming Message:

2L01HEADERXXXXX01?2.QR.VA094017B.FBI/9666000.PUR/C.ATN/HAMMER

Reject Message:

JL01HEADERXXXXX01?2
REJECT HEADER ERROR

The following list provides brief explanations for each of the lines contained in the example.

1. **JL01HEADERXXXXX01?2**—This line indicates the message was rejected. JL01 is the response header followed by the remaining information from the sending agency's header information.
2. The line following the response header will be blank.
3. **REJECT HEADER ERROR**—This line explains why the sending agency's message was rejected. (In this scenario, the sending agency's incoming header contained an invalid character, i.e., "?".)

ERROR MESSAGES THAT MAY APPEAR IN AN SLRM**01 REJECT COMPUTER ERROR – EMAIL fbi-iii@leo.gov**

A computer problem occurred before the message was completely processed.

02 REJECT EQUIPMENT PROBLEM - RESEND MESSAGE

The III/FBI computer cannot properly process the incoming message because of a hardware failure.

03 REJECT HEADER ERROR

The incoming message header contains invalid characters, or is in an invalid format.

04 REJECT III IN RESTRICTED SERVICE UNTIL XXXX EST. WATCH FOR FULL SERVICE MESSAGE

This message will be transmitted when a transaction other than an inquiry (QH or ZR) or record request (QR) is received while the III is in restricted service.

05 REJECT INSUFFICIENT DATA

The III Request (DEC, DRS, EHN, MRS, XHN) does not contain the MFC and field data to be added, modified, or deleted.

06 REJECT INVALID ORIGINATING AGENCY IDENTIFIER

The originating agency identifier does not match the edit criteria.

07 REJECT MESSAGE KEY ERROR (REJ MKE ERROR)

The III Request contains a message key that is invalid.

08 REJECT NOT AUTHORIZED

This message will be transmitted when one of the following occurs when:

- 1) An unauthorized agency attempts to access the III;
- 2) An unauthorized agency attempts to update a III record before the submission of an arrest fingerprint card which would cause its SID number to be added to the record;
- 3) An III Request (DEC, DRS, EHN, MRS, XHN) is received from an agency other than the designated state agency in a III participating state, AND III-USER-CLASS is not equal to '3';
- 4) A QH, QR, ZR, or ZRS request with PUR/A is submitted by an unauthorized agency;
- 5) A designated state agency attempts to use PUR/A to obtain a III/FBI record when neither an SID nor a III/FBI pointer is indexed in III for the state;

- 6) A III CPI Request was received from a non-NFF participating State Bureau;
- 7) The SIG and ORG in a III CPI Request does not match;
- 8) A TI\$ Request is submitted by an agency that does not have TI\$ authorization (state is not listed on the TI\$ FNU/STATE Code Table);
- 9) A QH message is received from an agency that is not allowed access to PUR/H (Housing Opportunity Program).
- 10) A QR message is received from an agency that is not allowed access to PUR/R (Departmental Order).

09 REJECT NOT AUTHORIZED - NFF RECORD

This message will be transmitted when a NFF participant attempts to change a III-STATE-POINTER-ACTIVE to a III-PSEUDO-POINTER-ACTIVE.

10 REJECT ORIGINATING AGENCY IS NOT IFS PARTICIPANT

An attempt is made to update the IFS (Identification Firearms Sales Flag) by a non-IFS Participant.

11 REJECT ORIGINATING AGENCY IS NOT SEAL PARTICIPANT

An attempt is made to update the SEAL Flag by a non-SEAL Participant.

APPENDIX D

INTERSTATE IDENTIFICATION INDEX SINGLE-SOURCE/MULTI-SOURCE TEST RECORDS

The following table (revised March 11, 2015) presents test record information for the FBI and all III states.

STATE/ TERRITORY	TYPE	DESCRIPTION
Alabama	Single-Source	FBI UCN/9666000.NAM/RECORD,TEST AL.SEX/M. RAC/W.DOB/19440101.SID/AL00000000
	Multi-Source	FBI UCN/9777700.NAM/DUCK,DAISY A.SEX/F.RAC/W. DOB/19760704.SID/AL00000002
Alaska	Single-Source	FBI UCN/9027000.NAM/QTEST,EUGENE C.SEX/M. RAC/W.DOB/19470611.SID/AK00999663
	Multi-Source	FBI UCN/9005500.NAM/QTEST,EUGENE D.SEX/M. RAC/W.DOB/19550511.SID/AK00999664
American Samoa	Single-Source	FBI UCN/9054000.NAM/FACE,SCAR.SEX/M.RAC/A. DOB/19780706.SID/AMQ03053
	Multi-Source	FBI UCN/9009800.NAM/ACME,MARVIN.SEX/M. RAC/W.DOB/19580726.SID/AMQ04014
Arkansas	Single-Source	FBI UCN/9029000.NAM/TOUCHDOWN,SUE.SEX/F. RAC/W.DOB/19600101.SID/AR627392
	Multi-Source	FBI UCN/9028100.NAM/RAZORBACK,JOHN.SEX/M. RAC/W.DOB/19400101.SID/AR627391
Arizona	Single-Source	FBI UCN/9005000.NAM/BATMAN,TEST.SEX/M.RAC/W. DOB/19550505.SID/AZ00009997
	Multi-Source	FBI UCN/9008800.NAM/TEST,RECORD.SEX/M.RAC/W. DOB/19500322.SID/AZ00009903
California	Single-Source	FBI UCN/9001000.NAM/XRAY,TEST.SEX/M.RAC/W. DOB/19540119.SID/CA99000015
	Multi-Source	FBI UCN/9001100.NAM/TEST,JOSEPH T.SEX/M.RAC/W. DOB/19521005.SID/CA99000020
Colorado	Single-Source	FBI UCN/9002000.NAM/LAST,FIRST MIDDLE.SEX/M. RAC/W.DOB/19400101.SID/COTEST
	Multi-Source	FBI UCN/9002200.NAM/TESTRECORD,JOHN DAVID. SEX/M.RAC/B.DOB/19550103.SID/CO665553
Connecticut	Single-Source	FBI UCN/9025000.NAM/TEST,SINGLE.SEX/F.RAC/W. DOB/19600501.SID/CT00373238

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Appendix D—Interstate Identification Index Single-Source/Multi-Source Test Records

STATE/ TERRITORY	TYPE	DESCRIPTION
	Multi-Source	FBI UCN/9001100.NAM/TEST, JOSEPH. SEX/M. RAC/W. DOB/19521005. SID/CT00387796
Delaware	Single-Source	FBI UCN/9024000.NAM/TEST, JUST. SEX/M. RAC/W. DOB/19550505. SID/DEJ0999988
	Multi-Source	FBI UCN/9002200.NAM/TESTRECORD, JOHN. SEX/M. RAC/W. DOB/19540103. SID/DEJ0999977
District of Columbia	Single-Source	FBI UCN/9053000.NAM/PANN, PETER JR. SEX/M. RAC/B. DOB/19600211. SID/DC00888000
	Multi-Source	FBI UCN/9005500.NAM/COOKE, CAPTAN. SEX/M. RAC/W. DOB/19780808. SID/DC00888008
Federal	Single-Source	FBI UCN/9039000.NAM/KILLER, COPY CAT. SEX/F. RAC/B. DOB/19680822. SID/US**082268
	Multi-Source	FBI UCN/9005500.NAM/HARRY, TOM DICK. SEX/M. RAC/W. DOB/19550920. SID/US**092055
Federal	Test Records U.S. Postal Inspection Service (TRAINING PURPOSES FOR U.S. PO only)	FBI UCN/9051000.NAM/LUTHER, LESLIE. SEX/M. RAC/W. DOB/19581002. SID/US**100258 FBI UCN/9052000.NAM/EDWARDS, ELVIS D. SEX/M. RAC/W. DOB/19590701. SID/US**070159
Florida	Single-Source	FBI UCN/9003000.NAM/PUBLIC, SUSIE Q. SEX/F. RAC/W. DOB/19570812. SID/FL01776048
	Multi-Source	FBI UCN/9003300.NAM/PUBLIC, CARL C. SEX/M. RAC/W. DOB/19560524. SID/FL01777559
Georgia	Single-Source	FBI UCN/9004000.NAM/TESTRECORD, GIACOMO ALONZO. SEX/M. RAC/W. DOB/19350228. SID/GA00844902
	Multi-Source	FBI UCN/9004400.NAM/RECORD, PAUL UNIQUE. SEX/M. RAC/B. DOB/19540710. SID/GA00844903
Guam	Single-Source	FBI UCN/9005100.NAM/RECORD, TEST. SEX/M. RAC/A. /DOB19870102. SID/GM12345678
	Multi-Source	FBI UCN/9005200.NAM/RECORD, TEST. SEX/F. RAC/A. /DOB19870201. SID/GMC1234567
Hawaii	Single-Source	FBI UCN/9049000.NAM/TEST, JOHN HAWAII. SEX/M. RAC/W. DOB/19561114. SID/HIA2225570

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Appendix D—Interstate Identification Index Single-Source/Multi-Source Test Records

STATE/ TERRITORY	TYPE	DESCRIPTION
	Multi-Source	FBI UCN/9222200.NAM/TEST, JANE HAWAII. SEX/F.RAC/A. DOB/19780517.SID/HIA5873165
Idaho	Single-Source	FBI UCN/9021000.NAM/TEST, IMA. SEX/M. RAC/W. DOB/19550505.SID/ID00998877
	Multi-Source	FBI UCN/9003300.NAM/PUBLIC, CARL C. SEX/M. RAC/W. DOB/19560524.SID/ID00500028
Illinois	Single-Source	FBI UCN/9030000.NAM/ILLINOIS, TEST S. SEX/F. RAC/B. DOB/19600614.SID/IL00002710
	Multi-Source	FBI UCN/9007700.NAM/TEST, ILLINOIS. SEX/F. RAC/B. DOB/19500202.SID/IL00002710
Indiana	Single-Source	FBI UCN/9036000.NAM/TEST, SUSIE Q. SEX/F. RAC/B. DOB/19710105.SID/IN00000999
	Multi-Source	FBI UCN/9008800.NAM/RECORD, TEST TWO. SEX/M. RAC/W. DOB/19500322.SID/IN00000002
Iowa	Single-Source	FBI UCN/9035000.NAM/IOWADCI, TEST. SEX/M. RAC/W. DOB/19400101.SID/IA00514167
	Multi-Source	FBI UCN/9009800.NAM/IADPS, TEST. SEX/M. RAC/W. DOB/19410101.SID/IA00514173
Kansas	Single-Source	FBI UCN/9040000.NAM/PUBLIC, JOHN Q. SEX/M. RAC/W. DOB/19741012.SID/KS09900252
	Multi-Source	FBI UCN/9777700.NAM/ZXAMPLE, BARBARA JEAN. SEX/F. RAC/W. DOB/19501105.SID/KS09900253
Kentucky	Single-Source	FBI UCN/9048000.NAM/JONES, DOUGLAS. SEX/M. RAC/W. DOB/19731121.SID/KY01111111
	Multi-Source	FBI UCN/9444400.NAM/DUMMY, TEST. SEX/M. RAC/W. DOB/19310101.SID/KY01030175
Louisiana	Single-Source	FBI UCN/9047000.NAM/TESTING, CASE. SEX/M. RAC/B. DOB/19420608.SID/LA2225636
	Multi-Source	FBI UCN/9222200.NAM/CASE, TEST. SEX/F. RAC/W. DOB/19771006.SID/LA2225635
Maine	Single-Source	FBI UCN/9050000.NAM/LOBSTER, TEST. SEX/M. RAC/W. DOB/19560811.SID/ME000TEST1
	Multi-Source	FBI UCN/9777700.NAM/DUCK, DAISY. SEX/F. RAC/W. DOB/19670107.SID/ME000TEST2
Maryland	Single-Source	FBI UCN/9009000.NAM/TEST, RECORD. SEX/F. RAC/W. DOB/19470207.SID/MD1087845

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Appendix D—Interstate Identification Index Single-Source/Multi-Source Test Records

STATE/ TERRITORY	TYPE	DESCRIPTION
	Multi-Source	FBI UCN/9009800.NAM/TEST, NEW RECORD. SEX/M. RAC/W. DOB/19411124. SID/MD1380467
Massachusetts	Single-Source	FBI UCN/9046000.NAM/KENDRICK, JOSEPH P. SEX/M. RAC/B. DOB/19750803. SID/MA99999999
	Multi-Source	FBI UCN/9008800.NAM/HARRIS, BOBBY V. SEX/M. RAC/A. DOB/19681023. SID/MA99999998
Michigan	Single-Source	FBI UCN/9006000.NAM/JACK, JUMPING JIM. SEX/M. RAC/W. DOB/19430907. SID/MI0000496E
	Multi-Source	FBI UCN/9006600.NAM/ROVER, ROVING R. SEX/M. RAC/B. DOB/19571201. SID/MI0000495X
Minnesota	Single-Source	FBI UCN/9008000.NAM/TEST, JOHN D SEX/M. RAC/W. DOB/19470427. SID/MN82009699
	Multi-Source	FBI UCN/9002200.NAM/TESTRECORD, JOHN D. SEX/M. RAC/B. DOB/19540103. SID/MN82009700
Mississippi	Single-Source	FBI UCN/9037000.NAM/TEST, SAMPLE. SEX/M. RAC/A. DOB/19740724. SID/MS99999994
	Multi-Source	FBI UCN/9008800.NAM/ARNULFO, ARREOLA. SEX/M. RAC/A. DOB/19680924. SID/MS99999986
Missouri	Single-Source	FBI UCN/9022000.NAM/RECORD, ROY A. SEX/M. RAC/W. DOB/19341130. SID/MO00000001
	Multi-Source	FBI UCN/9004400.NAM/RECORD, PAUL U. SEX/M. RAC/B. DOB/19540710. SID/MO00000002
Montana	Single-Source	FBI UCN/9026000.NAM/TEST, RECORD. SEX/M. RAC/W. DOB/19500101. SID/MT00027061
	Multi-Source	FBI UCN/9006600.NAM/TEST, TEST TEST. SEX/M. RAC/W. DOB/19470101. SID/MT00027062
Nebraska	Single-Source	FBI UCN/9041000.NAM/DUCK, DONALD DAH. SEX/M. RAC/W. DOB/19650406. SID/NB50000000
	Multi-Source	FBI UCN/9777700.NAM/DUCK, DAISY DAH. SEX/F. RAC/W. DOB/19670701. SID/NB70000000
Nevada	Single-Source	FBI UCN/9032000.NAM/NEVADA, TEST P. SEX/M. RAC/W. DOB/19500107. SID/NV01144216
	Multi-Source	FBI UCN/9007700.NAM/CASINO, NEVADA G. SEX/M. RAC/W. DOB/19500101. SID/NV01144220
	Single-Source	FBI UCN/9034000.NAM/PUBLIC, JOHN Q. SEX/M. RAC/W. DOB/19490101. SID/NH499998

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Appendix D—Interstate Identification Index Single-Source/Multi-Source Test Records

STATE/ TERRITORY	TYPE	DESCRIPTION
New Hampshire	Multi-Source	FBI UCN/9009800.NAM/MCPUBLIC, RONALD R. SEX/M. RAC/W. DOB/19590202. SID/NH499999
New Jersey	Single-Source	FBI UCN/9010000.NAM/TEST, RECORD. SEX/M. RAC/W. DOB/19490707. SID/NJ1111
	Multi-Source	FBI UCN/9004400.NAM/RECORD, PAUL U. SEX/M. RAC/B. DOB/19540710. SID/NJ1111A
New Mexico	Single-Source	FBI UCN/9007000.NAM/FARR, THOMAS. SEX/M. RAC/W. DOB/19610101. SID/NM63535
	Multi-Source	FBI UCN/9444400.NAM/HUCK, BRAD. SEX/M. RAC/I. DOB/19640101. SID/NM63536
New York	Single-Source	FBI UCN/9011000.NAM/SINGLETON, SUSAN. SEX/F. RAC/W. DOB/19530315. SID/NY5015488L
	Multi-Source	FBI UCN/9003300.NAM/PUBLIC, CARL C. SEX/M. RAC/W. DOB/19560524. SID/NY5870633R
	Multi-Source	FBI UCN/9005500.NAM/HARRY, TOM DICK. SEX/M. RAC/W. DOB/19550920. SID/NY5015487N
North Carolina	Single-Source	FBI UCN/9012000.NAM/FIDO, FRED L. SEX/M. RAC/W. DOB/19560921. SID/NC0999961A
	Multi-Source	FBI UCN/9006600.NAM/ROVER, ROVING. SEX/M. RAC/W. DOB/19571201. SID/NC0999960A
North Dakota	Single-Source	FBI UCN/9033000.NAM/ROOSEVELT, TEDDY. SEX/M. RAC/W. DOB/19331002. SID/ND00123211
	Multi-Source	FBI UCN/9007700.NAM/SYSTEM, TEST RECORD. SEX/M. RAC/B. DOB/19400101. SID/ND00083417
Northern Mariana Islands	Single-Source	
	Multi-Source	
Ohio	Single-Source	FBI UCN/9018000.NAM/PUBLIC, JOHN Q. SEX/M. RAC/W. DOB/19461231. SID/OHA123456
	Multi-Source	FBI UCN/9006600.NAM/PUBLIC, JOHN. SEX/M. RAC/B. DOB/19451231. SID/OHA000004
Oklahoma	Single-Source	FBI UCN/9020000.NAM/TEST, OKLAHOMA. SEX/M. RAC/W. DOB/19600101. SID/OK00000592
	Multi-Source	FBI UCN/9028100.NAM/TESTTWO, OKLAHOMA. SEX/F. RAC/W. DOB/19500101. SID/OK00123456
Oregon	Single-Source	FBI UCN/9019000.NAM/TEST, RECORD IMA. SEX/F. RAC/W. DOB/19570909. SID/OR09999966

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Appendix D—Interstate Identification Index Single-Source/Multi-Source Test Records

STATE/ TERRITORY	TYPE	DESCRIPTION
	Multi-Source	FBI UCN/9001100.NAM/TEST, JOSEPH T. SEX/M. RAC/W. DOB/19521005. SID/OR09999975
Pennsylvania	Single-Source	FBI UCN/9013000.NAM/TEST, THOMAS JOSEPH. SEX/M. RAC/W. DOB/19440825. SID/PA80003048
	Multi-Source	FBI UCN/9001100.NAM/TEST, JOSEPH THOMAS. SEX/M. RAC/W. DOB/19521005. SID/PA80004036
Puerto Rico	Single-Source	FBI UCN/9055000.NAM/PRUEBA, CARMEN. SEX/F. RAC/W. DOB/19810510. SID/PR09009676
	Multi-Source	FBI UCN/9777700.NAM/PRUEBA, MARIO. SEX/M. RAC/W. DOB/19701201. SID/PR09009677
Rhode Island	Single-Source	FBI UCN/9045000.NAM/RECORD, ROBERT TEST. SEX/M. RAC/W. DOB/19781101. SID/RI00999991
	Multi-Source	FBI UCN/9222200.NAM/TEST, JANE M. SEX/F. RAC/W. DOB/19500101. SID/RI09999992
South Carolina	Single-Source	FBI UCN/9014000.NAM/TESTING, JANE BAKER. SEX/F. RAC/W. DOB/19530508. SID/SC99999979
	Multi-Source	FBI UCN/9002200.NAM/TESTRECORD, JOHN D. SEX/M. RAC/B. DOB/19540103. SID/SC99999978
South Dakota	Single-Source	FBI UCN/9023000.NAM/TEST, RECORD. SEX/F. RAC/W. DOB/19700412. SID/SD200324AB
	Multi-Source	FBI UCN/9028100.NAM/RECORD, TEST. SEX/M. RAC/W. DOB/19430802. SID/SD222151A3
Tennessee	Single-Source	FBI UCN/9044000.NAM/FLINTSTONE, PEBBLES. SEX/F. RAC/W. DOB/19650301. SID/TN09876542
	Multi-Source	FBI UCN/9222200.NAM/JETSON, JANE. SEX/F. RAC/W. DOB/19620106. SID/TN09876543
Texas	Single-Source	FBI UCN/9015000.NAM/RECORD, WILLIAM TEST. SEX/M. RAC/W. DOB/19400611. SID/TX02949402
	Multi-Source	FBI UCN/9003300.NAM/PUBLIC, CARL. SEX/M. RAC/W. DOB/19560524. SID/TX03077227
Utah	Single-Source	FBI UCN/9088000.NAM/TESTER, ELROY JOE. SEX/M. RAC/W. DOB/19501011. SID/UT00501501
	Multi-Source	FBI UCN/9007700.NAM/MORE, C TEST. SEX/M. RAC/B. DOB/19620512. SID/UT00502502
Vermont	Single-Source	FBI UCN/9043000.NAM/TEST, JOHN JAMES JR. SEX/M. RAC/W. DOB/19500101. SID/VT999997

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Appendix D—Interstate Identification Index Single-Source/Multi-Source Test Records

STATE/ TERRITORY	TYPE	DESCRIPTION
	Multi-Source	FBI UCN/9222200.NAM/TEST, JANE MARIE. SEX/F.RAC/W.DOB/19500101.SID/VT999998
Virginia	Single-Source	FBI UCN/9016000.NAM/TESTDOE, JOHN Q.SEX/M. RAC/W.DOB/19601106.SID/VA557462
	Multi-Source	FBI UCN/9004400.NAM/RECORD, PAUL U.SEX/M.RAC/B. DOB/19540710.SID/VA557463
Virgin Islands	Single-Source	
	Multi-Source	
Washington	Single-Source	FBI UCN/9028000.NAM/WASHINGTON, IIIITEST.SEX/M. RAC/W.DOB/19500101.SID/WA10150089
	Multi-Source	FBI UCN/9028100.NAM/WASHINGTON, TESTIII.SEX/M. RAC/W.DOB/19600101.SID/WA10150096
West Virginia	Single-Source	FBI UCN/9038000.NAM/PUBLIC, JOHN Q.SEX/M.RAC/W. DOB/19601212.SID/WV642629
	Multi-Source	FBI UCN/9444400.NAM/HUCK, BRAD.SEX/M.RAC/I. DOB/19640101.SID/WV676323
Wisconsin	Single-Source	FBI UCN/9042000.NAM/MOSES, HOLIE.SEX/M.RAC/U. DOB/19450101.SID/WI46163
	Multi-Source	FBI UCN/9444400.NAM/CAT, SYLVESTER T.SEX/M. RAC/U.DOB/19460404.SID/WI415506
Wyoming	Single-Source	FBI UCN/9017000.NAM/TESTA, IRA A.SEX/M.RAC/W. DOB/19600107.SID/WY00034525
	Multi-Source	FBI UCN/9005500.NAM/HARRY, TOM DICK.SEX/M. RAC/W.DOB/19550920.SID/WY00016752

APPENDIX E**Nlets CONTROL FIELD SPECIFICATION**

The Nlets Control Field (NCF) is a 10-character, fixed-length field used by a number of states/agencies to assist in routing Nlets (The International Justice and Public Safety Network) messages. The III provides states with the NCF data in a \$.A.CHR unsolicited message. The data placed in the control field are extracted from either positions 5–14 or 10–19 of the III QR record request message header. When no control field data are necessary, the III will not insert a period (.) or “NCF/.” in the \$.A.CHR to indicate that the data are missing. If a \$.A.CHR unsolicited message does not contain an NCF, neither a control field or 10 blank spaces will be transmitted. When control field data are included in a \$.A.CHR unsolicited message, Nlets requires that the 10 characters be preceded by an asterisk (*). The asterisk, however, is not included in a \$.A.CHR unsolicited message.

The following list provides the names of the states/agencies that do not require NCF data and states/agencies that use positions 5–14 or positions 10–19 of the NCIC message header for control field data.

States/Agencies That Do Not Require Nlets Control Field

Alabama	New Jersey
Arkansas	New Mexico
Connecticut	New York
Delaware	North Carolina
District of Columbia	North Dakota
Florida	Ohio
Georgia	Oklahoma
Honolulu, Hawaii, Police Department	Police of Puerto Rico
Iowa	Rhode Island
Kansas	Royal Canadian Mounted Police, Ottawa, Canada
Louisiana	South Dakota
Maine	Tennessee
Massachusetts	U.S. Air Force Office of Special Investigations
Mississippi	U.S. Coast Guard, West Virginia
Missouri	U.S. Postal Inspection Service
Montana	Vermont

Naval Investigative Service	Virginia
Nebraska	Washington
Nevada	West Virginia
New Hampshire	Wyoming

States/Agencies That Use Positions 5-14 of NCIC III Message Header

Alaska	South Carolina
Arizona	Utah
Idaho	Wisconsin
Kentucky	Philadelphia, Pennsylvania, Police Department
Maryland	U.S. Customs Service
Michigan	U.S. Department of Justice
Minnesota	

States/Agencies That Use Positions 10-19 of NCIC III Message Header

California
Colorado
Illinois
Indiana
Oregon
Pennsylvania
Texas

APPENDIX F

CHECK-DIGIT ROUTINES—FBI UNIVERSAL CONTROL NUMBERS

LEGACY FBI NUMBER FORMATS

Historically, an FBI Number was assigned to an individual when his/her information was initially added to the Interstate Identification Index (III). Over the years, four different formats have been used in the composition of the FBI Numbers: all of these formats currently reside in the III. These formats are outlined below:

1. One to six numeric characters, a two-character alphabetic suffix, and a one-character numeric check-digit, e.g., 222144KA0. For this format, the valid characters for the first of the two alphabetic characters are:

A	F	L	R	X
C	H	M	T	
D	J	N	V	
E	K	P	W	

2. The check-digit ranges from 0 through 9.
3. The invalid characters for the first position are B, G, I, O, Q, S, U, Y, and Z.
4. The alphabetic characters allowed as the second character are A through Z. In this format, the second alphabetic character is referred to as the series character and is not considered when computing the check-digit.

FBI UCN Format

In September 2014, the Integrated Automated Fingerprint Identification System (IAFIS), and subsequently, the III, transitioned into the Next Generation Identification (NGI) System. Historically, the FBI used FBI Numbers to index a subject's criminal history record. Under the NGI System, the FBI began to index subjects based on fingerprint-based identities referenced by an FBI Universal Control Number (UCN) and recommended states remove the check-digit routine checks to allow for the new FBI UCN. The presence of an FBI UCN in the NGI System means the individual has an identity in the NGI System and does not indicate whether the identity is associated with a record that is criminal, civil, or both.

The FBI UCNs must be unique, and the format cannot indicate when the FBI UCN was assigned or the type of any event associated with the identity. The FBI UCN must be random, and the FBI UCNs must have a check character to assist in identifying invalid FBI UCNs.

In addition to these requirements, the following characteristics were considered in developing and assigning the FBI UCNs:

- Restricting the format to nine alphanumeric characters to be compatible with existing *Electronic Biometric Transmission Specification* identifier fields. The first eight

characters are uniquely selected from a limited character set, and the ninth character will be a calculated check character.

- Allowing contributors to continue to reference identities using legacy IAFIS identifiers, e.g., FNUs.

The FBI UCN is defined as:

$$\text{FBI UCN} = U_7U_6U_5U_4U_3U_2U_1U_0U_c$$

Where:

$$U_x \in \{0,1,2,3,4,5,6,7,8,9,A,C,D,E,F,H,J,K,L,M,N,P,R,T,V,W,X\}$$

U_0 through U_7 are randomly assigned from this set such that the FBI UCN is unique and does not match any excluding strings or ranges (explained below).

The check character, U_c , is calculated as follows:

$$V(U_c) = (V(U_7)*2 + V(U_6)*4 + V(U_5)*5 + V(U_4)*7 + V(U_3)*8 + V(U_2)*10 + V(U_1)*11 + V(U_0)*13) \text{ MOD } 27$$

Where:

$V(U_x)$ comes from the **Table–1 FBI UCN Check Digit Lookup**
 U_c is found by lookup of the calculated $V(U_c)$ in **Table–1 FBI UCN Check Digit Lookup**

Table–1 FBI UCN Check Digit Lookup

U_x	$V(U_x)$
0	0
1	1
2	2
3	3
4	4
5	5
6	6
7	7
8	8
9	9
A	10
C	11
D	12
E	13
F	14
H	15

J	16
K	17
L	18
M	19
N	20
P	21
R	22
T	23
V	24
W	25
X	26

The following example illustrates the check character calculation:

Compute the FBI UCN check character for “1234ACDE”

$$\begin{aligned} V(U_c) &= (1*2 + 2*4 + 3*5 + 4*7 + 10*8 + 11*10 + 12*11 + 13*13) \text{ MOD } 27 \\ &= 544 \text{ MOD } 27 \\ &= 4 \end{aligned}$$

$U_c = “4”$ (found by equating the $V(U_x)$ value in **Table–1 FBI UCN Check Digit Lookup** to the corresponding U_x)

UCN = 1234ACDE4

The set of FBI UCN characters is consistent with those allowed for current FNUs, in restricted positions, that eliminate potentially confusing pairs such as the digit “0” and the letter “O” or the digit “8” and the letter “B.” The check character calculation is based on a combination of Luhn and Mod X algorithms which are commonly applied in industry.

Many legacy identifiers are known by internal and external contributors, and the NGI System must support the ability to continue to use these identifiers as references to the NGI System. As such, the NGI System will handle legacy identifiers in one of the following two ways:

1. If the legacy identifier is consistent with FBI UCN parameters, the legacy identifier will become the FBI UCN.
2. If the legacy identifier is not consistent with the FBI UCN parameters, the NGI will assign a new UCN to the identifier and will link to the legacy identifier.

Table–2 Identifier Transition Approach summarizes the approach, strategy, and rationale for transitioning existing identifiers.

Table–2 Identifier Transition Approach

Legacy Identifier	Identifies	Transition Strategy	Rationale
FNU	Criminal subjects	Maintain FNU as FBI UCN	Maintained in contributor files. Primary identifier for communication with contributors.
Civil Record Number (CRN)	Civil subjects	Assign FBI UCN; maintain CRN as “other identifier”	CRNs are not used outside the FBI. Translation can occur for legacy references.
Special Population Cognizant (SPC) numbers	SPC subjects	Assign FBI UCN; maintain SPC as “other identifier”	SPC numbers are not used outside the FBI. Translation can occur for legacy references.

APPENDIX G

INTERSTATE IDENTIFICATION INDEX ADMINISTRATIVE MESSAGES

III ADMINISTRATIVE MESSAGES (\$.U, \$.V, \$.W, \$.X, \$.Y, \$.Z)

The National Crime Information Center (NCIC) transmits administrative messages relating to Interstate Identification Index (III) service to alert users of the III system's status. III administrative messages are sent to each NCIC Control Systems Agency (CSA) regardless of III participation.

III administrative messages will always begin with \$. followed by a single alphabetic character (U through Z) followed by a period. When included in an administrative message, the time and date appear in the following manner:

- **Time**—The time appears in four numerics according to the 24-hour time system, i.e., 0001 (one minute after midnight) to 2400 (midnight). The abbreviation EST indicates the time shown is Eastern Standard Time. When appropriate, EDT (Eastern Daylight Time) is substituted.
- **Date**—The date appears in eight numeric characters representing century, year, month, and day. A slash precedes month and day; i.e., CCYY/MM/DD.

Note: When the NCIC transmits a \$.1. administrative message stating that the NCIC System is out of service, it does not mean that the III is out of service as well. However, users may not access the III as long as this condition exists.

The following examples show III administrative messages and explanations of each:

Example of a \$.U. message:

```
$.U.  
****NOTICE---NOTICE****  
NCIC III OUT OF SERVICE UNTIL 1200 EST.  
WATCH FOR FULL SERVICE MESSAGE.  
XXX-80-XXX
```

The NCIC transmits this message when the III is out of service. The sixth line of this message may contain up to 80 characters of variable data describing the reason, e.g., TODAY FOR FILE MAINTENANCE.

Example of a \$.V. message:

```
$.V.  
NCIC III FILE IN FULL SERVICE 1500 EST 2000/01/10.
```

The NCIC transmits this message when:

The III has been out of service and is returning to full service.

The III has been in restricted service (a period during which only certain types of messages are accepted) and is now returning to full service.

Example of a \$.W. message:

\$.W.
NCIC III FILE RESTRICTED TO INQUIRY MESSAGES FROM 1500 UNTIL
ABOUT 1700 EST. NO ENTRY, MODIFY, CANCEL, OR EXPUNGEMENT
MESSAGES ACCEPTED.
WATCH FOR FULL SERVICE MESSAGE.

The NCIC transmits this message when the III begins restricted service.

Example of a \$.X. message:

\$.X.
****NOTICE---NOTICE****
NCIC III FILE CONTINUING RESTRICTED SERVICE UNTIL ABOUT 1900 EST.
WATCH FOR FULL SERVICE MESSAGE.

The NCIC transmits this message when restricted service is extended 30 minutes or more beyond the time stated in the last \$.W. or \$.X. message. (Asterisks and dashes appearing in the second line of this message are transmitted.)

Example of a \$.Y. message:

\$.Y.
YOUR NCIC LINE REOPENED 0900 EST.
NCIC III IN FULL SERVICE.
NCIC PROPERTY, WANTED & MISSING PERSON FILES IN RESTRICTED SERVICE.

The NCIC transmits this message to a CSA when that agency's communications line is reopened after a period during which the terminal's line was out of service and the NCIC was in service. NCIC Missing Person, Wanted Person, and Property Files are in restricted service status and the III is in full service when the line is reopened.

Example of a \$.Z. message:

\$.Z.
YOUR NCIC LINE REOPENED 0900 EST.
NCIC PROPERTY, WANTED & MISSING PERSON FILES IN FULL SERVICE.
NCIC III FILE IN RESTRICTED SERVICE.

The NCIC transmits this message to a CSA when that agency's communications line is reopened after a period during which the terminal's line was out of service and the NCIC was in service. NCIC Missing Person, Wanted Person, and Property Files are in full service status, and the III is in restricted service when the line is reopened.

APPENDIX H

FD-1114 *FBI EXPUNGEMENT FORM* AND FD-1115 *RECORDS MODIFICATION FORM*

As explained in [Chapter 2, Section 2.5](#), of this manual, State Identification Bureaus (SIBs) should submit Form 1114, *FBI Expungement Form*, for state expungements, sealings, governor's pardons, deletions, and/or removal of Dates of Arrest or individual charges. SIBs should submit Form 1115, *Records Modification Form*, to correct or change the base identifiers in a III record or to report a possible consolidation. An example of each form follows.

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Appendix H—FD-1114 *FBI Expungement Form* and FD-1115 *Records Modification Form*

FD-1115 (12-16-2014)

OMB 1110-0068

Records Modification Form

FBI CJIS DIVISION

REQUIRED INFORMATION:

Master Name: _____ DOB: _____ Originating Agency: _____

Additional Information: FBI #: _____ DOA: _____

MODIFIED INFORMATION: (Including any warrant#, Citation #, Agency Case #, etc)

Master Name:		Sex:	Race:		
Name at arrest:		HGT:	WGT:	EYE:	HAIR:
DOB:	SOC:	SID:			
POB:	DOO:	Agency Case #/OCA:		ORI:	
DOA:					
AKAs:					
SMTs:					
ARREST CHARGES: FROM:					
TO:					
COURT CHARGES: FROM:					
TO:					
DISPOSITIONS: FROM:					
TO:					

ADDED INFORMATION: (PLEASE NOTE: if adding a date of arrest, it must be accompanied with a fingerprint card)

SID	Agency Case #/OCA:	DOB:	SOC:	AKAs:	SMTs:

DOA: _____

Arrest Charges:
Court Charges:
Dispositions:

DELETED INFORMATION: When requesting a deletion, removal or expungement for date of arrest or individual charges/disposition please use FBI Expungement Form

SID	Agency Case #/OCA:	DOB:	SOC:	AKAs:	SMTs:

DOA: _____

Arrest Charges:
Court Charges:
Dispositions:

(Provide State Bureau Stamp)

APPENDIX I
DATE OF ARREST CUT-OFF DATES

As explained in [Chapter 2, Section 2.4](#), of this manual, potential Interstate Identification Index (III) participants must establish a date to begin receiving III unsolicited messages. This date is referred to as the Date of Arrest (DOA) cut-off date. Potential participants have the option of either selecting a specific date, or no date, for their DOA cut-off. Each III participants' cut-off date follows:

STATE	DOA CUT-OFF DATE
Alabama	1995/12/01
Alaska	1990/04/01
Arizona	1997/12/07
Arkansas	1984/01/01
California	1973/01/01
Colorado	1983/01/01
Connecticut	1976/01/01
Delaware	1986/01/01
District of Columbia	2008/04/06
Florida	1983/01/01
Georgia	1983/01/01
Hawaii	2004/02/08
Idaho	1984/01/01
Illinois	1993/07/01
Indiana	1997/05/01
Iowa	1996/11/01
Kansas	2002/10/15
Kentucky	2004/01/15
Louisiana	2005/09/04

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Appendix I—Date of Arrest (DOA) Cut-Off Dates

Maine	1998/08/31
Maryland	1998/02/01
Massachusetts	1993/01/01
Michigan	1983/01/01
Minnesota	1978/01/01
Mississippi	1998/05/01
Missouri	1986/01/01
Montana	1983/01/01
Nebraska	1998/11/29
Nevada	1992/07/01
New Hampshire	2000/01/15
New Jersey	1983/01/01
New Mexico	1997/08/01
New York	1971/01/01
North Carolina	NO DATE
North Dakota	1994/04/01
Ohio	1984/01/01
Oklahoma	1993/01/01
Oregon	1983/01/01
Pennsylvania	1983/01/01
Rhode Island	2001/06/17
South Carolina	1977/03/01
South Dakota	1994/04/15
Tennessee	2003/02/23
Texas	1983/01/01

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Appendix I—Date of Arrest (DOA) Cut-Off Dates

Utah	1992/06/15
Vermont	2008/01/01
Virginia	1983/01/01
Washington	1993/01/01
West Virginia	1998/05/01
Wisconsin	1999/11/01
Wyoming	1983/01/01

APPENDIX J

**NEXT GENERATION IDENTIFICATION EQUIVALENT MESSAGE FOR \$.A.NPR,
 \$.A.PIR, \$.A.CFN, AND \$.A.CFR**

The following is an example of a Next Generation Identification equivalent message received by a state Automated Fingerprint Identification System via the CJIS Wide Area Network (WAN) in response to an electronic tenprint submission. (The Interstate Identification Index [III] Program issues the following equivalent messages via the CJIS WAN: \$.A.NPR [No Prior Record-III Record Established], \$.A.PIR [Prior Record-SID Number Entered in III Record], \$.A.CFN [Applicant Fingerprint Submissions Not Identified], or a \$.A.CFR [Applicant Fingerprint Submissions Identified]).

```
1.01:150^1.02:0201^1.03:112%00\1%^1.04:SRE^1.05:200001171^1.06:1^1.07:NC03000
00^1.08:WVIAFISOZ^1.09:IFCS0003000001211450^1.10:000040719^1.11:00.00^1.12:00
.00~2.001:000164^2.002:00^2.009:00081241^2.014:341226MA2^2.015:NC023412^2.018
:DUCK,DONALD^2.041:235 GOING AVE CARSON OR 34256^2.059:I^2.073:NC0131701~
```

The field descriptors are:

Field				
Identifier	Number	Field Name	Field Size	Condition
LEN	1.01	Logical Record Length	2-3 (N)	M
VER	1.02	Version	4 (N)	M
CNT	1.03	File Content	9-48 (N)	M
TOT	1.04	Type of Transaction	3-5 (A)	M
DAT	1.05	Date	8 (N)	M
PRY	1.06	Transaction Priority	1 (N)	O
DAI	1.07	Designation Agency Identifier	9 (A, N)	M
ORI	1.08	Originating Agency Identifier	9 (A, N)	M
TCN	1.09	Transaction Control Number	10-40 (A, N, S)	M
TCR	1.10	Transaction Control Reference	10-40 (A, N, S)	O
NSR	1.11	Native Scanning Resolution	5 (N, S)	M
NTR	1.12	Nominal Transmitting Resolution	5 (N, S)	M
LEN	2.001	Logical Record Length	2-7 (N)	M
IDC	2.002	Image Designation Character	2 (N)	M
OCA	2.009	Originating Agency Case Number	1-20 (A,N, S)	O
FBI	2.014	FBI UCN	1-9 (A, N)	O*
SID	2.015	State Identification Number	3-10 (A, N, S)	C*

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Appendix J—Next Generation Identification Equivalent Message for a \$.A.NPR, \$.A.PIR, \$.A.CFN, and \$.A. CFR

NAM	2.018	Name	3-30 (A, S)	M
RES	2.041	Residence of Person Fingerprinted	1-120 (A, N, S)	O
SRF	2.059	Search Results Findings	1 (A)	M**
CRI	2.073	Controlling Agency Identifier	1-9 (A, N, S)	M

*The state agency may use the FBI UCN or the SID Number.

**The Search Results Findings (SRF) Field will indicate I (prior record) or N (no prior record).

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

APPENDIX K

NEXT GENERATION IDENTIFICATION EQUIVALENT MESSAGE FOR \$.A.NMS WHEN THE TENPRINT CONTAINS A DIFFERENT SID NUMBER

The following is an example of a Next Generation Identification equivalent error message received by a state Automated Fingerprint Identification System via the CJIS Wide Area Network (WAN) in response to an electronic tenprint submission when the tenprint contains a different State Identification (SID) Number for the individual than what has been established. (The Interstate Identification Index Program issues the following equivalent message via the CJIS WAN: \$.A.NMS [SID Number Consolidation]).

```
1.01:150^1.02:0201^1.03:112%00\1%^1.04:ERRT^1.05:200001171^1.06:4^1.07:NC0300
000^1.08:WVIAFISOZ^1.09:0003000001211450^1.10:000040719^1.11:00.00^1.12:00.00
~2.001:000164^2.002:00^2.009:00081241^2.015:NC05035726^2.060:L0038 - CANNOT
ESTABLISH NEW SID NC05035726 FOR THIS SUBJECT BECAUSE YOUR STATE HAS ALREADY
ESTABLISHED SID NC01581640 FOR THIS SUBJECT^2.073:NC0131701~
```

The field descriptors are as follows:

Field				
Identifier	Number	Field Name	Field Size	Condition
LEN	1.01	Logical Record Length	2-3 (N)	M
VER	1.02	Version	4 (N)	M
CNT	1.03	File Content	9-48 (N)	M
TOT	1.04	Type of Transaction	3-5 (A)	M
DAT	1.05	Date	8 (N)	M
PRY	1.06	Transaction Priority	1 (N)	O
DAI	1.07	Designation Agency Identifier	9 (A, N)	M
ORI	1.08	Originating Agency Identifier	9 (A, N)	M
TCN	1.09	Transaction Control Number	10-40 (A, N, S)	M
TCR	1.10	Transaction Control Reference	10-40 (A, N, S)	O
NSR	1.11	Native Scanning Resolution	5 (N, S)	M
NTR	1.12	Nominal Transmitting Resolution	5 (N, S)	M
LEN	2.001	Logical Record Length	2-7 (N)	M
IDC	2.002	Image Designation Character	2 (N)	M
OCA	2.009	Originating Agency Case Number	1-20 (A, N, S)	O
SID	2.015	State Identification Number	3-10 (A, N, S)	O

Appendix K—Next Generation Identification Equivalent Message for \$.A.NMS When the Tenprint Contains a Different SID Number

MSG	2.060	Status/Error Message	1-300 (A, N, S)	M
CRI	2.073	Controlling Agency Identifier	1-9 (A, N, S)	M

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

APPENDIX L

NEXT GENERATION IDENTIFICATION EQUIVALENT MESSAGE FOR \$.A.RNP AND \$.A.RPR WHEN THE NATIONAL FINGERPRINT FILE TENPRINT CONTAINS A SID NUMBER FOR A DIFFERENT FBI UNIVERSAL CONTROL NUMBER

(Message applies only to National Fingerprint File [NFF] participating states)

The following is an example of a Next Generation Identification equivalent error message received by a NFF state’s Automated Fingerprint Identification System via the CJIS Wide Area Network (WAN) in response to an NFF electronic tenprint submission when the tenprint contains a State Identification (SID) Number associated with a different FBI Universal Control Number. (The Interstate Identification Index Program issues the following equivalent messages via the CJIS WAN: \$.A.RNP [SID Rejected-No Prior III Record] or \$.A.RPR [SID Rejected-Prior III Record]).

```
1.01:150^1.02:0201^1.03:112%00\1%1.04:ERRT^1.05:200001171^1.06:1^1.07:NC0300
000^1.08:WVIAFISOZ^1.09:0003000001211450^1.10:000040719^1.11:00.00^1.12:00.00
~2.001:000164^2.002:00^2.006:SA JQ DOE, RM 11879^2.009:00081241^2.015:NC0234
12^2.060:L0024 - THE SID PROVIDED IN THE CRIMINAL TENPRINT SUBMISSION,
NC3324585A, IS ALREADY ASSOCIATED WITH THE SUBJECT WITH FBI NUMBER 123456XX1
AND COULD NOT BE ESTABLISHED FOR A NEW NFF SUBJECT^2.073:NC0131701~
```

The field descriptors are:

Identifier	Field Number	Field Name	Field Size	Condition
LEN	1.01	Logical Record Length	2-3 (N)	M
VER	1.02	Version	4 (N)	M
CNT	1.03	File Content	9-48 (N)	M
TOT	1.04	Type of Transaction	3-5 (A)	M
DAT	1.05	Date	8 (N)	M
PRY	1.06	Transaction Priority	1 (N)	O
DAI	1.07	Designation Agency Identifier	9 (A, N)	M
ORI	1.08	Originating Agency Identifier	9 (A, N)	M
TCN	1.09	Transaction Control Number	10-40 (A, N, S)	M
TCR	1.10	Transaction Control Reference	10-40 (A, N, S)	O
NSR	1.11	Native Scanning Resolution	5 (N, S)	M
NTR	1.12	Nominal Transmitting Resolution	5 (N, S)	M
LEN	2.001	Logical Record Length	2-7 (N)	M

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Appendix L—Next Generation Identification Equivalent Message for \$.A. RNP and \$.A.RPR When the National Fingerprint File Tenprint Contains a SID Number for a Different FBI Universal Control Number

IDC	2.002	Image Designation	2 (N)	M
ATN	2.006	Attention Indicator	3-30 (A, N, S)	M
OCA	2.009	Originating Agency Case Number	1-20 (A, N, S)	O
SID	2.015	State Identification Number	3-10 (A, N, S)	O
MSG	2.060	Status/Error Message	1-300 (A, N, S)	M
CRI	2.073	Controlling Agency Identifier	1-9 (A, N, S)	M

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

APPENDIX M

NEXT GENERATION IDENTIFICATION MESSAGE WHEN THE NATIONAL FINGERPRINT FILE TENPRINT DOES NOT CONTAIN A SID NUMBER

(Message applies only to National Fingerprint File [NFF] participating states)

The following is an example of a Next Generation Identification error message received by a NFF state's Automated Fingerprint Identification System via the CJIS Wide Area Network in response to an NFF electronic tenprint submission when the tenprint does not contain a State Identification (SID) Number. (The Interstate Identification Index Program does not issue an equivalent message.)

```
1.01:150^1.02:0201^1.03:112%00\1%^1.04:ERRT^1.05:200001171^1.06:1^1.07:NC0300
000^1.08:WVIAFISOZ^1.09:0003000001211450^1.10:000040719^1.11:00.00^1.12:00.00
~2.001:000164^2.002:00^2.009:00081241^2.060:L0023 - NFF PARTICIPANT MUST
PROVIDE A SID ON A CRIMINAL RETAIN TEN-PRINT SUBMISSION^2.073:NC0131701~
```

The field descriptors are:

Field				
Identifier	Number	Field Name	Field Size	Condition
LEN	1.01	Logical Record Length	2-3 (N)	M
VER	1.02	Version	4 (N)	M
CNT	1.03	File Content	9-48 (N)	M
TOT	1.04	Type of Transaction	3-5 (A)	M
DAT	1.05	Date	8 (N)	M
PRY	1.06	Transaction Priority	1 (N)	O
DAI	1.07	Designation Agency Identifier	9 (A, N)	M
ORI	1.08	Originating Agency Identifier	9 (A, N)	M
TCN	1.09	Transaction Control Number	10-40 (A, N, S)	M
TCR	1.10	Transaction Control Reference	10-40 (A, N, S)	O
NSR	1.11	Native Scanning Resolution	5 (N, S)	M
NTR	1.12	Nominal Transmitting Resolution	5 (N, S)	M
LEN	2.001	Logical Record Length	2-7 (N)	M
IDC	2.002	Image Designation Character	2 (N)	M
OCA	2.009	Originating Agency Case Number	1-20 (A, N, S)	O
MSG	2.060	Status/Error Message	1-300 (A, N, S)	M

Appendix M—Next Generation Identification Message When the National Fingerprint File Tenprint Does not Contain a SID Number

CRI	2.073	Controlling Agency Identifier	1-9 (A, N, S)	M
-----	-------	-------------------------------	---------------	---

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

APPENDIX N

FINGERPRINT IMAGE SUBMISSION TYPE OF TRANSACTION

A National Fingerprint File (NFF) state must submit all criminal fingerprint impressions to the FBI for second and/or subsequent criterion offenses (felony or misdemeanor offenses not included as nonserious offenses) as Fingerprint Image Submission (FIS) transactions. Through the FIS, an agency submits the new fingerprints to the FBI’s CJIS Division to potentially update the master fingerprint images in the national database. The Interstate Identification Index System must account for all 14 fingerprints (ten rolled images of each finger, two flat images of each hand, and two flat images of each thumb), to verify the identification and confirm fingerprint positions. (The FIS requirement is reflected in the November 2016 *NFF Qualification Requirements*. Legacy NFF states must develop a strategic long-range plan to submit all second and/or subsequent criminal fingerprint submissions as FIS transactions.)

```
1.01:240^1.02:0201^1.03:112%00\1%^1.04:FIS^1.05:20121026^1.06:3^1.07:WVIAFIS0
Z^1.08:FL0379200^1.09:000001928294^1.11:19.69^1.12:19.69~2.001:150^2.002:00^2
.006:FDLECI B^2.007:FL0130000^2.014:669163TA2^2.015:FL03680657^2.018:DUCK,DONA
LD^2.035:Y^2.038:20121026^2.073:FL0130000~
```

The following fields are used when submitting FIS transactions:

Field				
Identifier	Number	Field Name	Field Size	Condition
LEN	1.01	Logical Record Length	2-3 (N)	M
VER	1.02	Version	4 (N)	M
CNT	1.03	File Content	9-48 (N)	M
TOT	1.04	Type of Transaction	3-5 (A)	M
DAT	1.05	Date	8 (N)	M
PRY	1.06	Transaction Priority	1 (N)	O
DAI	1.07	Designation Agency Identifier	9 (A, N)	M
ORI	1.08	Originating Agency Identifier	9 (A, N)	M
TCN	1.09	Transaction Control Number	10-40 (A, N, S)	M
TCR	1.10	Transaction Control Reference	10-40 (A, N, S)	O
NSR	1.11	Native Scanning Resolution	5 (N, S)	M
NTR	1.12	Nominal Transmitting Resolution	5 (N, S)	M
LEN	2.001	Logical Record Length	2-7 (N)	M
IDC	2.002	Image Designation Character	2 (N)	M
ATN	2.006	Attention Indicator	3-30 (A, N, S)	M

Appendix N—Fingerprint Image Submission Type of Transaction

SCO	2.007	Send Copy To	9-19 (A, N, S)	O
FBI	2.014	FBI UCN	1-9 (A, N)	M
SID	2.015	State Identification Number	3-10 (A, N, S)	O
NAM	2.018	Name	3-30 (A, N, S)	O
PPA	2.035	Palm Prints Available Indicator	1 (A)	O
DPR	2.038	Date Printed	8 (N)	M
CRI	2.073	Controlling Agency Identifier	1-9 (A, N, S)	O
AMP	2.084	Amputated or Bandaged	SET	O

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

APPENDIX O

NEXT GENERATION IDENTIFICATION REJECT MESSAGE WHEN THE NATIONAL FINGERPRINT FILE TENPRINT IS NOT IDENTICAL TO THE RECORD FOR WHICH THE TENPRINT IS BEING SUBMITTED

The following is an example of a Next Generation Identification equivalent error message received by a National Fingerprint File (NFF) state’s Automated Fingerprint Identification System via the CJIS Wide Area Network in response to an NFF electronic tenprint submission for updating the National Fingerprint Index when the tenprint is not identical to the record for which the tenprint is being submitted.

```
1.01:176^1.02:0201^1.03:112%00\1%^1.04:ERRI^1.05:20121023^1.06:4^1.07:GAGBI00
00^1.08:WVIAFISOZ^1.09:2014297000000196389^1.10:20122972695039994-
0342334481^1.11:00.00^1.12:00.00~2.001:000245^2.002:00^2.006:GCIC PERSONNEL
2.014:798818NA6^2.015:GA1756389M^2.060:L0133 - THE SUBJECT OF THIS
FINGERPRINT IMAGE SUBMISSION CONTAINS FNU 798818NA6, WHICH IS NOT CONTAINED
IN THE FBI SUBJECT CRIMINAL HISTORY FILES^2.073:GA0670200~
```

The field descriptors are:

Field				
Identifier	Number	Field Name	Field Size	Condition
LEN	1.01	Logical Record Length	2-3 (N)	M
VER	1.02	Version	4 (N)	M
CNT	1.03	File Content	9-48 (N)	M
TOT	1.04	Type of Transaction	3-5 (A)	M
DAT	1.05	Date	8 (N)	M
PRY	1.06	Transaction Priority	1 (N)	O
DAI	1.07	Designation Agency Identifier	9 (A, N)	M
ORI	1.08	Originating Agency Identifier	9 (A, N)	M
TCN	1.09	Transaction Control Number	10-40 (A, N, S)	M
TCR	1.10	Transaction Control Reference	10-40 (A, N, S)	O
NSR	1.11	Native Scanning Resolution	5 (N, S)	M
NTR	1.12	Nominal Transmitting Resolution	5 (N, S)	M
LEN	2.001	Logical Record Length	2-7 (N)	M
IDC	2.002	Image Designation Character	2 (N)	M
ATN	2.006	Attention Indicator	3-30 (A, N, S)	M
FBI	2.014	FBI UCN	1-9 (A, N)	M

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Appendix O—Next Generation Identification Reject Message When the National Fingerprint File Tenprint is not Identical to the Record for Which the Tenprint is Being Submitted

SID	2.015	State Identification Number	3-10 (A, N, S)	O
MSG	2.060	Status/Error Message	1-300 (A, N, S)	M
CRI	2.073	Controlling Agency Identifier	1-9 (A, N, S)	O

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

APPENDIX P

NEXT GENERATION IDENTIFICATION RESPONSE MESSAGE WHEN THE NATIONAL FINGERPRINT FILE TENPRINT IS SUBMITTED AS A FINGERPRINT IMAGE SUBMISSION TYPE OF TRANSACTION

A National Fingerprint File (NFF) state must submit all criminal fingerprint impressions to the FBI for second and/or subsequent criterion offenses (felony or misdemeanor offenses not included as nonserious offenses) as a Fingerprint Image Submission (FIS) transactions. The following is an example of a Next Generation Identification message received by an NFF state's Automated Fingerprint Identification System via the CJIS Wide Area Network in response to an NFF FIS transaction. The message is referred to as FIS Response. (The Interstate Identification Index Program does not issue an equivalent message.)

```
1.01:150^1.02:0201^1.03:112%00\1%^1.04:FISR^1.05:200001171^1.06:3^1.07:NC0300
000^1.08:WVIAFISOZ^1.09:0003000001211450^1.10:000040719^1.11:00.00^1.12:00.00
~2.001:000164^2.002:00^2.006:00081241^2.007:NC001232256^2.014:341226MA2^2.015
:NC023412^2.018:DUCK,DONALD^2.072:G1^2.073:NC0131701~
```

The field descriptors are:

Identifier	Field Number	Field Name	Field Size	Condition
LEN	1.01	Logical Record Length	2-3 (N)	M
VER	1.02	Version	4 (N)	M
CNT	1.03	File Content	9-48 (N)	M
TOT	1.04	Type of Transaction	3-5 (A)	M
DAT	1.05	Date	8 (N)	M
PRY	1.06	Transaction Priority	1 (N)	O
DAI	1.07	Designation Agency Identifier	9 (A, N)	M
ORI	1.08	Originating Agency Identifier	9 (A, N)	M
TCN	1.09	Transaction Control Number	10-40 (A, N, S)	M
TCR	1.10	Transaction Control Reference	10-40 (A, N, S)	O
NSR	1.11	Native Scanning Resolution	5 (N, S)	M
NTR	1.12	Nominal Transmitting Resolution	5 (N, S)	M
LEN	2.001	Logical Record Length	2-7 (N)	M
IDC	2.002	Image Designation Character	2 (N)	M
ATN	2.006	Attention Indicator	3-30 (A, N, S)	M
SCO	2.007	Send Copy To	9-19 (A, N, S)	O

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Appendix P—Next Generation Identification Response When the National Fingerprint File Tenprint is Submitted as a Fingerprint Image Submission Type of Transaction

FBI	2.014	FBI UCN	1-9 (A, N)	O*
SID	2.015	State Identification Number	3-10 (A, N, S)	C*
NAM	2.018	Name	3-30 (A, S)	M
FIU	2.072	Fingerprint Image(s) Updated	1-2 (A, N)	M
CRI	2.073	Controlling Agency Identifier	1-9 (A, N, S)	M

*An FBI UCN or SID Number will appear in the message.

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

APPENDIX Q

NEXT GENERATION IDENTIFICATION TERMS USED IN THE NATIONAL FINGERPRINT FILE PROGRAM

Acronym	Translation
CAR	Criminal tenprint submission (Answer Required)
CFN	No Prior Record-Civil fingerprint transaction message key
CFR	Prior Record-Civil fingerprint transaction message key
CHRI	Criminal History Record Information
CNA	Criminal tenprint submission (No Answer Required)
CPI	Criminal Print Ident
DOA	Date of Arrest
EMUF	Electronic In/Manual Out User Fee
FANC	Federal Applicant No Charge
FAUF	Federal Applicant User Fee
FIS	Fingerprint Image Submission
FISR	Fingerprint Image Submission Response
Ident	Identification (match after Fingerprint Image Comparison)
IdHS	NGI term for Identity History Summary (formerly Rap Sheet or CHRI)
MAP	Miscellaneous Applicant Civil
NFUF	Nonfederal Applicant User Fee
OCA	Originating Case Agency
ORI	Originating Agency Identifier
SIB	State Identification Bureau

SID	State Identification Number
SFI	Status Flag Indicator
SRE	Search Results-Electronic
TCN	Transaction Control Number
TOT	Type of Transaction
WAN	Wide Area Network

Additional acronyms pertaining to the Interstate Identification Index (III) Program are provided in [Appendix U](#) (Acronyms and Codes). Definitions of terms used in the III and National Fingerprint File Programs are available in [Appendix V](#) (Glossary), and [Appendix W](#) (Quick Reference) furnishes additional information regarding the message keys.

APPENDIX R

CRIMINAL HISTORY RECORD SCREENING FOR AUTHORIZED NONCRIMINAL JUSTICE PURPOSES

The following information provides excerpts from Section 28, Part 904, *Code of Federal Regulations*, that establishes record screening standards for state criminal history record information received by means of the III for noncriminal justice purposes.

NATIONAL CRIME PREVENTION AND PRIVACY COMPACT COUNCIL

28 CFR Part 904

PART 904--STATE CRIMINAL HISTORY RECORD SCREENING STANDARDS

Sec.

904.1 Purpose and authority.

904.2 Interpretation of the criminal history record screening requirement.

904.3 State criminal history record screening standards.

Authority: 42 U.S.C. 14616

§ 904.1 Purpose and authority.

Pursuant to the National Crime Prevention and Privacy Compact (Compact), Title 42, U.S.C., Chapter 140, subchapter II, section 14616, Article IV (c), the Compact Council hereby establishes record screening standards for criminal history record information received by means of the III System for noncriminal justice purposes.

§ 904.2 Interpretation of the criminal history record screening requirement.

Compact Article IV(c) provides that “Any record obtained under this Compact may be used only for the official purposes for which the record was requested.” Further, Article III(b)(1)(C) requires that each Party State appoint a Compact officer who shall “regulate the in-State use of records received by means of the III System from the FBI or from other Party States.” To ensure compliance with this requirement, Compact Officers receiving records from the FBI or other Party States are specifically required to “ensure that record entries that may not legally be used for a particular noncriminal justice purpose are deleted from the response and, if no information authorized for release remains, an appropriate ‘no record’ response is communicated to the requesting official.” Compact Article IV(c)(3).

§ 904.3 State criminal history record screening standards.

The following record screening standards relate to criminal history record information received for noncriminal justice purposes as a result of a national search subject to the Compact utilizing the III System.

(a) The State Criminal History Record Repository or an authorized agency in the receiving state will complete the record screening required under § 904.2 for all noncriminal justice purposes.

(b) Authorized officials performing record screening under § 904.3(a) shall screen the record to determine what information may legally be disseminated for the authorized purpose for which the record was requested. Such record screening will be conducted pursuant to the receiving state's applicable statute, executive order, regulation, formal determination or directive of the state attorney general, or other applicable legal authority.

(c) If the state receiving the record has no law, regulation, executive order, state attorney general directive, or other legal authority providing guidance on the screening of criminal history record information received from the FBI or another state as a result of a national search, then the record screening under § 904.3(a) shall be performed in the same manner in which the state screens its own records for noncriminal justice purposes.

APPENDIX S

INTERSTATE IDENTIFICATION INDEX SYNCHRONIZATION GUIDELINES

Introduction

This appendix provides step-by-step guidance and procedures for a better understanding of the Interstate Identification Index (III) synchronization process. State agencies participating in the III and National Fingerprint File (NFF) Programs are required to conduct III synchronizations to identify discrepancies and synchronize records indexed in the III with state records. To accomplish this and to comply with the minimum standards for III/NFF participation, all states must conduct two mandatory synchronizations yearly. As an option, states may conduct two additional synchronizations on a quarterly basis.

Background

The mandatory biannual III audits are generally scheduled for a Sunday in the spring and in the fall of each year. For those states requesting two additional audits, these are scheduled on a Sunday in the summer and in the winter and are added to these state's schedule. The FBI's CJIS Division staff generates a copy of each state's records on a compact disc (CD) or via file transfer protocol (FTP). CDs are shipped via Federal Express to the individual state for processing. The synchronization file via the FTP is available within two days after the creation of the synchronization. Once the synchronization is received, the state compares its data with the FBI data, and researches and corrects discrepancies between the two sets of information. As necessary, the CJIS Division personnel may research and correct discrepancies on the state's behalf as well.

Contents of CD/FTP files

Each CD/FTP file contains data on III/NFF records containing the state's SID Number and includes:

- Records that are active
- Records that have become inactive since the previous audit, i.e., deceased, expunged, consolidated, deleted records
- Records containing Identification for Firearms Sales (IFFS) Flags
- Records containing Seal (SEL) Flags

Also included at the beginning of the synchronization file are records established in III on or after April 20, 1983, without the state's SID Number, for which the FBI's CJIS Division staff maintains the criminal history, in lieu of the state. These records contain FBI pseudo-pointers, i.e., XX**122250. The FBI pseudo-pointers are comprised of the two letter state mnemonic, two asterisks, and the subject's master date of birth in a six-character format. The FBI pseudo-pointer records for each state are sorted in alphanumeric order. A state may review these records to determine whether it can take responsibility.

By comparing the two file extracts, a state can identify discrepancies and take action to synchronize state and III records. A state should be able to resolve most discrepancies via III

maintenance messages with a minimal amount of manual intervention. A state must compare the two files as soon as possible after receiving the synchronization file to alleviate the possibility of more complex resolution of discrepancies due to subsequent file updates. With the synchronization file, each state will receive:

- A file audit specifications document that provides the format of the data on the CD or FTP
- A record layout worksheet
- A totals page
- A synchronization schedule
- An information page
- A Certification of Audit Processing form.

The state must return the Certification of Audit Processing form to the FBI's CJIS Division within 90 days of receipt of the synchronization media/FTP. The form certifies that the state processed the audit material and corrected any record discrepancies. The state should send the form to the CJIS Division via facsimile at 304-625-9072 or scan and e-mail the form to <fbi-iii@leo.gov>.

If a state does not correct discrepancies within 90 days of receipt, the state should contact the III staff to discuss a possible extension, otherwise, a state could face sanctions or may receive a warning letter. The forms included with the synchronization file are provided on the following pages.

INTERSTATE IDENTIFICATION INDEX

File Synchronization (Audit) Specifications

To produce the III audit media, the III System creates media of each state’s records during this time period. A state agency with questions about the III synchronization schedule and other related issues should contact the III staff of the Biometric Services Section, Criminal Justice Information Services Division, via e-mail at <fbi-iii@leo.gov>.

The following table provides a high-level overview of information contained in the synchronization media.

Record Selection Criteria:

Status	With a SID	With an FBI Pointer for State Data
Active (S or M)	All Records	Only records established in the III on or after April 20, 1983, are present on CD or FTP. All records with an FBI UCN containing all numeric or alphabetic suffix of A through M, S, Y and Z are included.
Consolidated (C)	Records wherein a state’s SID was consolidated since the previous audit.	Records meeting the criteria described for active records where the FBI consolidated the FBI pointer since the previous audit.
Deceased (D)	Records wherein a state’s SID was deceased since the previous audit.	Records meeting the criteria described for active records where the FBI deceased the record since the previous audit.
Deleted (W)	Records wherein a state’s SID was deleted since the previous audit.	Records meeting the criteria described for active records where the FBI deleted the FBI pointer since the last audit.
Expunged (E)	Records wherein a state’s SID was expunged since the previous audit.	Records meeting the criteria described for active records where the FBI expunged the FBI pointer since the previous audit.
Identification for Firearm Sales (IFFS) Flag (D or X)	Records wherein a state’s SID is active and the status for firearm sales determination is present.	Records meeting the criteria described for active records where a firearms transfer status is present. Refer to Chapter 7 of this manual for definitions of these flags.
Sealed (SEL) Flag (Y or N)	Records wherein a state’s SID is active and may contain a SEL Flag.	Records meeting the criteria described for active records where the record contains a SEL Flag of a Y (yes) is present. If a N (no) is present, the record does not contain a SEL Flag.

Sort Criteria:

The III System sorts records based on the SID Field. Because the asterisk (*) has a lower value than an alphabetic or numeric character, records with an FBI pointer will appear first. The status of the record (active, consolidated, deceased, deleted, expunged, and records containing IFFS and SEL Flags) does not affect the sorting criteria.

The following pages provide examples of the III Synchronization Audit documents given to the states.

III SYNCHRONIZATION RECORD LAYOUT WORKSHEET

III STATE SYNCHRONIZATION MEDIUM

RECORD LAYOUT WORK SHEET

Record Name: III STATE SYNCHRONIZATION
Data Set Name: III-OUT. SYNC. XX- (XX CHARACTER STATE CODE)

Medium: Reel - OPT
Length: 90
Record: 9,000
Block: 8MM

Record Form: F
Format: EBCDIC - OPT 1800
Density: 18 Track - OPT
Labels: None - OPT

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Date 2001/05/21

Record Identifier	SID (R)	FBI (R)	NAM (Base Record)	(L)	DOB (Base Record)
CHAR	A	A/N/S or Y			A
DEC	1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	A/N/S or Y			A
HEX	1 2 3 4 5 6 7 8 9 A B C D E F 10 11 12 13 14 15 16 17 18 19 1A 1B 1C 1D 1E 1F 20 21 22 23 24 25 26 27 28 29 2A 2B 2C 2D 2E 2F 30 31 32 33 34 35 36 37 38 39 3A 3B 3C 3D 3E 3F				

D O B	S C I	DEF	DPE	FT	FTLLER
A or Y	A or Y	N or Y	N	A A A	A A A
64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90					
40 41 42 43 44 45 46 47 48 49 4A 4B 4C 4D 4E 4F 50 51 52 53 54 55 56 57 58 59 5A					

LEGEND:
A - Alpha Character(s) (L) - Left Justified
N - Numeric Character(s) (R) - Right Justified
S - Special Character(s)
B - Blank(s)

III STATE SYNCHRONIZATION TPE-DATA ELEMENTS FOR
ACTIVE, DECEASED, EXPUNGED, CONSOLIDATED AND DELETED RECORDS

Record Identifier	Position(s)	Active	Deceased	Expunged	Consolidated	Deleted
Record Identifier	1-4 (4)	IIIS	IIIS	IIIS	IIIS	IIIS
SID or FBI Pointer	5-14 (10)	SID or FBI Pointer	SID or FBI Pointer	SID or FBI Pointer	SID or FBI Pointer	SID or FBI Pointer
FBI	15-23 (9)	FBI Number	FBI Number	FBI Number	FBI Number	FBI Number
**SFI	24 (1)	M or S	D	E	C	W
NAM	25-54 (30)	Name	Name	Blanks	Blanks	Blanks
SEX	55 (1)	M or F	Blank	Blank	Blank	Blank
RAC	56 (1)	Race Code	Blank	Blank	Blank	Blank
DOB	57-64 (8)	Date of Birth	Blanks	Blanks	Date of Birth	Date of Birth
**SCI	65-66 (2)	Blanks	Blanks	Blanks	Blanks	Blanks
6DPR	67-74 (8)	Blanks	Blanks	Blanks	Blanks	Blanks
+DPE	75-82 (8)	Date Pointer Established	Date Pointer Established	Expungement Date	Consolidation Date	Deletion Date
+++IFA	83 (1)	Y (yes) or N (no)	Blank	Date Pointer Established	Date Pointer Established	Date Pointer Established
#AFC	84 (1)	D, C, or X	Blank	Blank	Blank	Blank
#SEL	85 (1)	Y (yes) or N (no)	Blank	Blank	Blank	Blank
Filler	86 (1)	Blanks	Blanks	Blanks	Blanks	Blanks
	87-90 (4)	Blanks	Blanks	Blanks	Blanks	Blanks

* If standard labels used, they must be IBM labels.
** SFI - Status Flag Indicator where M-Multisource; S-Singlesource; D-Deceased, E-Expunged; C-Consolidated; W-Deleted.
*** SCI - 2-character state code of agency reporting death.
DPR - Date Pointer (SID or FBI) Removed due to subject's death, expungement, consolidation with another record, or deletion.
+ DPE - Date Pointer (SID or FBI) Established. For deceased, expunged, consolidated, and deleted records, this will be the date the associated SID or FBI pointer was originally established in III.
** REA - Reactivation Flag, Indicates that the suppressed state record was reactivated to an FBI pointer.
++ IFS - Identification for Firearms Sales Flag, Indicates subject's conviction status where D-Disqualification; C-No Disqualification; X-Record status unknown or court action pending.
AFC - Approximate Fingerprint Classification Flag. No longer Applies, Please Disregard.
SEL - Sealed Record Flag. Indicates record is sealed or unsealed.

CERTIFICATE OF AUDIT PROCESSING

FEDERAL BUREAU OF INVESTIGATION
INTERSTATE IDENTIFICATION INDEX PROGRAM

Certification of Audit Processing

Re: Interstate Identification Index (III) synchronization
file for

_____ .
month/year

I certify that the records on the synchronization file identified above were processed by this agency and compared with corresponding state records. For those records indexed in III for this agency, a corresponding state criminal history record is available. Our state identification numbers have been removed from III for any records that no longer exist at the state level. Action also has been taken to correct any other discrepancies noted between the III and state records.

Agency or Department

Signature

Date

Please return this document within 90 days of receipt. If you have any questions contact the Interstate Identification Index staff at 304-625-3652 or ORI/DCFBIWA10.

INTERSTATE IDENTIFICATION INDEX (III) SYNCHRONIZATION AUDIT

INFORMATION NOTICE

The information contained on the III Synchronization File is unclassified sensitive. The file and the information contained on it may only be used, processed, stored, reproduced, or transmitted in accordance with FBI policies and procedures.

CERTIFICATION OF AUDIT PROCESSING FORM AND CONTACT CHANGES

Please indicate any changes to the synchronization notification contact(s) on the bottom of the Certification of Audit Processing Form. Please return this form to the address, email or facsimile number listed below within 90 days of receipt.

MEDIA

States that receive synchronization data on a compact disc are asked to not return the media to the FBI. This will prevent potential breaches of personally identifiable information.

FTP

States that receive synchronization data via file transfer protocol (FTP), the file will be available within two business days after the scheduled III synchronization and will be available for 45 days from this date. Please note the file name is FTP.FTPUSERID.SYNC.III.

SYNCHRONIZATION AUDIT SCHEDULE

Synchronization notification contact(s) will be advised of scheduled III synchronizations approximately 30 and 15 days prior to creation of the III synchronization media. For each biannual and quarterly synchronization, the III is placed in restricted service (inquiry only) on the designated Sunday.

- **BIANNUAL SYNCHRONIZATION**—is a requirement for all states participating in the III Program.
- **QUARTERLY SYNCHRONIZATION**—is optional for all states. State participation is coordinated with the III staff.

Any questions and correspondence regarding the III Synchronization Audit can be directed to the III Staff at the following:

BSS/CHIPU/IQST/BTC-3
Criminal Justice Information Services Division
1000 Custer Hollow Road
Clarksburg, WV 26306
Telephone: 304-625-3652; Facsimile: 304-625-9072
E-mail: fbi-iii@leo.gov

FILE TRANSFER PROTOCOL (FTP) TECHNICAL INSTRUCTIONS

FTP allows the user to electronically retrieve National Crime Information Center (NCIC) validations, Special Request (SPRQ) response results, III, and general National Crime Information Center (NCIC) documentation. FTP can be performed using a command line interface or a commercial program that uses a graphical user interface.

The state must send the FTP request using an Internet Protocol (IP) connection that is defined to the CJIS Division's firewall. If a state is unable to use the same connection as its normal NCIC/III traffic, the state agency must contact its NCIC coordinator at the CJIS Division so that Division staff can add additional IP addresses to the firewall. FTP is **not** a message key; there are no ORI requirements or restrictions. Because the FTP interface has many variations, instructions may not apply to every agency; however, the following instructions may be useful to some users:

Establish session and login

- Establish an FTP session with the NCIC host computer and sign on using the state's assigned UserID and password.
- The state's UserID will be formatted as FTPaan where >aa = is the 2-character code for your state (or agency) and >n = is a number. For example: FTPCA1
- When a state first creates a UserID, and whenever the CJIS Help Desk personnel reset the state's password, the agency will receive a default password. This password will expire when an agency signs on for the first time, and the agency must change it. If an agency only enters the default password, the agency will receive a message that the password is expired and will not receive a prompt to enter a new password. An agency should contact the CJIS Division's Help Desk at 304-625-4357 for assistance with a forgotten password or difficulty logging on.

Change your password

The format to change your password is: oldpassword/newpassword/newpassword.

For example, if the CJIS Division's Help Desk has reset your password to DEFAULT (this is the old password) and the agency wants to use a password of RAINDROP (this is the new password). At the password prompt, agency staff should type: DEFAULT/RAINDROP/RAINDROP to change the password.

The next time staff at the agency signs on, and for the next 90 days, agency staff will only need to type RAINDROP at the password prompt. After 90 days, the password will expire, and the agency will need to change it again. At that time, RAINDROP will become the old password.

Retrieve files

The format to retrieve a file is: `command >file-to-be-retrieved = your-storage-location`.

At the prompt, the state must enter the **get** command followed by the name of the file to be retrieved and the location where the file is to be stored on the system. Examples follow:

```
get 'FTP.FTPaan.Fnnnnnn' c:\sprq\fnnnnnn
get >FTP.FTPaan.aaxxmyy = a:\val\feb15
get >FTP.GLOBAL.INDEX = w:\xyz
get 'FTP.FTPaan.suffix.III' c:\iii\apr15
```

- The agency **must** enter the **get** command in lower case, or the retrieval will not work.
- The agency **must** enclose the name of the file to be retrieved in **single** quotes. Double quotes will not work.
- If an agency does not specify a storage location, the FBI's CJIS Division will download the file into the directory the state is currently using to perform the FTP. However, if an agency is using Linux, the agency **must** specify the location where the file is to be stored.
- An agency may enter file names in either upper and/or lower case.
- FTPaan is the UserID.
- Fnnnnnn is the SPRQ file name identifier contained in the \$.B notification message. These files are available online for 5 days.
- aaxxmyy is the validation file name identifier contained in the \$.B notification message. These files are created the first Saturday of each month and are available online for thirty 30 days.
- Suffix is the III file name identifier for III files. This will vary depending on the type of file being created.

The III synchronization files will have a suffix of SYNC. The III creates these four times a year and are available online for 30 days. The III also creates other files, such as queries, statistics, or records, as requested; these files will be available for 7 days.

ASCII/Binary files

If an agency has downloaded a file but is unable to read the data, the agency may need to specify the correct format before downloading the file again. NCIC validations, III synchronization, and general documentation are in American Standard Code for Information Interchange (ASCII); SPRQ results are in binary format.

If the file is in ASCII, at the prompt, enter **ASCII** then press <enter>.

If the file is binary, at the prompt, enter **bin** then press <enter>.

Once completed, the agency should download the file again, and the agency staff should then be able to read it. If the agency staff cannot read the file, staff should contact the III staff at 304-625-3652.

Working Directory

If staff from an agency attempts to look at the contents of its working directory, the directory will be empty because all of the validation and SPRQ files are written to a single directory, rather than being written to separate directories for each user. UserID may only access files for their specific state/agency. UserID are not allowed to access files for another state/agency.

Passive Mode

If an agency is unable to connect and receiving a message about “passive mode,” the staff will need to change passive mode on your machine using the following steps:

For IBM OS390 machines, type: locsite fwfriendly

For other machines, type: pass

This will turn the passive mode on if it is off, or it will turn passive mode off if it is on. If this does not work, the agency will need to contact someone at the agency (i.e., systems programmer, information technology group, etc.)

Rules of Behavior

- Do not share your password and/or account.
- Do not attempt to gain access to data for which you are not specifically authorized. Attempts of this nature may result in suspension or revocation of access.
- Access is subject to monitoring for law enforcement or other purposes.

If an agency has problems with the firewall, the agency should contact the CJIS Division’s telecommunications area by telephone at 304-625-3030.

NOTE: Each time the III places a new synchronization on the server, the new synchronization always replaces the previous synchronization file.

Record Comparison

III/NFF participants must ensure that the SID Number and FBI UCN in the III are the same for each corresponding state record. For every active record in the III with a SID Number, there must be a corresponding active record in the state file that is available for dissemination. If not, the state must delete the SID Number from the III.

The FBI provides all records that the FBI is responsible for disseminating for the state (pseudo-pointer records). The III/NFF state is not required to reconcile these records within the 90 day period required for state pointer records. The FBI's CJIS Division will continue to provide the pseudo-pointer records until the state can assume responsibility for them. If the state chooses to review the records for assumption of dissemination, the state must ensure that it does not add its SID Number to the III unless the state record is at least as complete as the FBI record. If a state cannot take responsibility of the records, the FBI pointers will continue to be included on the synchronization file. The state can forward the signed certification of audit processing form as long as all other discrepancies have been handled for the state pointer records.

When comparing data on the synchronization file with state records, it is helpful if a listing of true discrepancies is generated by the state programming staff. A printed display of the status of the FBI record along with the state record status alleviates additional inquiries of the III by the state analyst processing the discrepancies. If the status of a record has been updated subsequent to the creation date of the synchronization file, the comparison at the state level should take into consideration the last date the state record was updated in order to identify a true discrepancy.

Synchronization File Data Elements

The following synchronization file data elements with corresponding details may assist the state analyst in processing the audit and resolving discrepancies:

STATE IDENTIFICATION NUMBER (SID Number)—A discrepancy in the SID Number(s) could be the result of a data entry error, a typographical error, or an unclearly written or a poorly stamped SID Number on a fingerprint submission. In these cases, the state should send a MRS (modify record SID Number) modification message to update the III. If the state identifies a pattern that may indicate a software or procedural problem, the state should notify the CJIS Division's III staff. A SID Number discrepancy may be the result of a fingerprint submission to the FBI that may have been rejected back to the state, and the state may not have resubmitted the arrest fingerprints.

FBI UCN—The FBI UCN must be present and should be an exact match. If not, the state should check the record to ensure the correct FBI UCN has been entered in the appropriate state record.

STATUS FLAG INDICATOR (SFI)—The SFI reflects the current status of the III record. The SFI is a critical element of the audit to identify and correct discrepancies. The state status must match the III status. If the state status does not match the III status, the state will remain out of synchronization, and inaccurate records may be disseminated. The valid SFI flags are:

- S = Single source (record is considered active by the FBI)
- M = Multi-source (record is considered active by the FBI)
- D = Deceased (record is considered inactive by the FBI)
- E = Expunged (record is considered inactive by the FBI)
- C = Consolidated (record is considered active by the FBI)
- W = Deleted (record is considered inactive by the FBI)

NAME (NAM)—The name reflected on the FBI file is the base name that the FBI has as the master name for the subject. A match on the name is not necessary and should not be considered a discrepancy, as the name the FBI provides may have originated from another state or federal arrest, or possibly a civil event.

SEX—The FBI sex code should match the state record; if not, this is a discrepancy. The sex code is a unique element and cannot be corrected online. For a discrepancy in this field, the state should contact the FBI’s CJIS Division Customer Service Group personnel at 304-625-5590 for possible change.

RACE (RAC)—The FBI race code should match the state record; if not, this is a discrepancy. The race code is a unique element and cannot be corrected online. For a discrepancy in this field, the state should contact the FBI’s CJIS Division Customer Service Group personnel at 304-625-5590 for possible change.

Date of Birth (DOB)—The DOB reflected on the FBI file is the base or “master” DOB from the FBI file and may have originated from another state or federal agency, or a civil event. For a discrepancy in this field, the state should contact the FBI’s CJIS Division Customer Service Group personnel at 304-625-5590 for assistance. Agencies may review additional DOBs by using a ZI administrative inquiry. Additional information on the ZI administrative inquiry is provided in [Chapter 3, Section 3.7](#).

STATE CODE INDICATOR (SCI)—The SCI is filled with the two-character alphabetic state abbreviation of the state reporting the death of the subject when the SFI (status flag indicator) reflects D for deceased. Example: OH for Ohio or SC for South Carolina. The SCI indicates that either a state identification bureau or the FBI received deceased fingerprints as the notification of death. The state conducting the audit should flag its record as deceased.

DATE POINTER REMOVED (DPR)—The DPR is filled with a date only if the SFI reflects D for a deceased record, E for an expunged record, C for a consolidated record, or W for a deleted record. If the state’s records do not match, this is a discrepancy. States should review records to identify if the record should be deceased, expunged, consolidated, or deleted and if so, the state should take appropriate action. Otherwise, the state should contact the FBI’s CJIS Division Customer Service Group personnel at 304-625-5590 for possible correction.

DATE POINTER ESTABLISHED (DPE)—The DPE reflects the date the pointer was originally established in the III including deceased, expunged, consolidated, and deleted records. This date may be helpful in resolving discrepancies in the state record.

IDENTIFICATION FOR FIREARM SALES (IFFS)—An IFS status flag is designated in position 84 in the record layout for III audit records. III/NFF states not participating in the IFFS flagging program may ignore this position. The alphabetic character D or X will be located in this position. If the IFFS state detects a discrepancy in the IFS status flag, the state must forward an EHN update message to modify the flag. (Information regarding EHN messages is available in [Chapter 5, Section 5.2](#), of this manual.) The IFFS Program design uses two flag values to indicate a subject’s eligibility to purchase or possess a firearm: D, which indicates disqualification for firearms, and X, which indicates status unknown. The value X is also used as the default before the record is reviewed to determine if the D value should be set. A properly set IFS status flag enables state and federal agencies to make valid firearm transaction decisions.

To improve the accuracy of the IFS status flags, note that:

- Many IFS status flags are incorrectly set.
- Incorrectly set IFS status flags negatively impact state and federal firearms background check programs. This affects programs managed by the FBI’s CJIS Division’s National Instant Criminal Background Check System (NICS) by increasing transaction review time and Point of Contact states which use the FBI’s NICS System to conduct firearms background checks. The IFS status flag is a valuable asset to the FBI NICS and states which conduct firearms transactions; the IFS status flag value is used to decide whether a firearm transfer can take place. The FBI uses the default setting of X when establishing criminal history records. The value of the IFS status flags should be updated to reflect the most accurate value when the disposition becomes available.

The IFFS Program was mandated by an act of Congress in 1988 which directed the Attorney General to develop a system for the immediate and accurate identification of felons who attempt to purchase firearms. Originally implemented in 1992, the program was modified in 1996 by the Lautenberg Amendment, which extended the federal prohibitions for firearms possession or purchase to include convictions for misdemeanor crimes of domestic violence.

Only IFFS Program participants should reset IFS status flags. Although participation in the IFFS Program is voluntary, many public safety and economic benefits exist for the constituents in your state. For additional information regarding the IFFS Program, please contact the III staff by telephone at 304-625-3652, or via e-mail at <fbi-iii@leo.gov>. Information about the IFFS Program and IFS flags is contained in [Chapter 7, Section 7.1](#), of this manual.

SEAL FLAG (SEL)—The III synchronization medium includes the SEL status flag as one of the data elements for which it checks for discrepancies for states participating in the III Sealing Program. The header title for this position will be SEL. The SEL status flag is designated in position 86 of the III synchronization record layout. The alphabetic character Y is in this position if any part of the record is sealed; an alphabetic character N is in this position if the record is not sealed. If the sealing state detects a discrepancy in the SEL status flag, it must forward an EHN update message to the FBI modifying the flag accordingly. States not participating in the III Sealing Program should ignore this position. Additional information about SEL Flags is available in [Chapter 7, Section 7.5](#), of this manual.

Entering Supplemental Identifiers (EHN Update Message)

Introduction

Although the majority of supplemental identifiers are entered in the III as the result of fingerprint submissions, a state may have documentation not provided to the FBI that contains a new supplemental identifier(s) (e.g., aliases or additional dates of birth.) This scenario may occur occasionally.

III users must employ an EHN update message when entering a supplemental identifier(s). There are no longer a maximum number of aliases and supplemental identifiers. When an EHN update message contains a supplemental identifier(s) that is already on file, the III will write over the existing identifier(s) (without changing or adding a duplicate identifier[s]) and accept the message.

The following text furnishes an example of an EHN update message, a list of the fields that may be contained in the message, and the MFC that the agency must use. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an agency uses an MFC in those fields, the III will transmit a reject message.

Example:

```
2L01HEADERXXXX01234.EHN.MD1012600.MD81331911.9015174.AKA/DOE,JP.DOB/19561126.  
MNU/PP-88123.SMT/SC R ARM.SOC/223456789
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
EHN.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
MD81331911.	SID Number	--
9015174.	FBI UCN	--
AKA/DOE, JP.	Alias	AKA/
DOB/19561126.	Date of Birth	DOB/
MNU/PP-88123.	Miscellaneous Number	MNU/

SMT/SC R ARM.	Scars, Marks, Tattoos	SMT/
SOC/223456789	Social Security Number	SOC/

III users who enter more than one supplemental identifier for a particular field must use a period (.) to separate the entries. If the field abbreviation is repeated, the III will reject the message. The reject message will state “DUPLICATE XXX” where XXX represents the MFC. Specific types of reject messages for this MKE are furnished in [Appendix C](#) of this manual.

When an EHN update message contains a supplemental identifier(s) that is already on file, the III will write over the existing identifier(s) (without changing or adding duplicate identifier[s]) and accept the message. If multiple EHN messages are included in a single entry, and the message rejects one of the entries, all the entries in the particular message will be rejected.

Message Format:

2L01HEADERXXXX01234(9-19 characters). EHN(3 characters). MD1012600(9 characters). MD81331911(3-10 characters). 9015174(1-9 characters). AKA/DOE, JP(3-30 characters). DOB/19561126(8 characters). MNU/PP-88123(4-15 characters). SMT/SC R ARM(3-10 characters). SOC/223456789(9 characters)

The accept message for an EHN update message will always contain the response header characters KL01 as shown below.

```
KL01HEADERXXXX01234
MD1012600
ACCEPT EHN FOR SID/MD81331911
```

MRS Modification Message to Modify an Incorrect SID Number

III users must employ an MRS modification message to modify a SID Number that has been entered incorrectly into the III. The following example shows the required format for this type of message.

NOTE: The agency must enter the incorrect SID Number as the identifier preceding the FBI Universal Control Number (UCN). In addition, the agency must not use an MFC when entering the incorrect SID Number, or the III will reject the message and will not process the correction.

Example:

```
2L01HEADERXXXX01234.MRS.SCLEDD0000.SCOLDSID.9002200.SID/SCNEWSID
```

The III will transmit a \$.A.SSO (Single-Source Offender Status) or \$.A.MSO (Multi-Source Offender Status) unsolicited message following the accept message.

Determination of Discrepancies and Error Corrections

As the state analyzes the results of the synchronization file comparison, it may need to run III inquiries to resolve some of the discrepancies. The state may use the III administrative inquiries to resolve the discrepancies. The first is the ZRS (Record Maintenance) message which automatically transmits a \$.A.SSO (Single-Source Offender Status) or \$.A.MSO (Multi-Source Offender Status) message to the state's database. A multi-source record is defined as a record consisting of multiple sources of information, i.e.; two or more states, one state and one federal, or one state and an active want or sexual offender notice. The ZRS inquiry is used to determine whether the record corresponding to a specific SID Number or FBI UCN is a single-source or multi-source record.

ZRS Inquiry

The only fields requiring an MFC are the SID Number or FBI UCN and the purpose code, when used.

The following example contains the data elements necessary for a ZRS inquiry message. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an agency uses an MFC in any of these fields, the III will transmit a reject message.

Example:

```
2L01HEADERXXXX01234.ZRS.MD1012600.SID/MD81331911.PUR/A
```

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
ZRS.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
*SID/MD81331911.	SID being verified	SID/
**PUR/A	Purpose Code	PUR/

*Agencies may use an FBI UCN in lieu of a SID Number. When used, the FBI UCN must be preceded by FBI/. Since an FBI pseudo-pointer for state data is not a SID Number, it cannot be used in the SID Field.

**The use of a purpose code is optional; however, when the message is for other than administrative purposes, agencies must use Purpose Code C or J as appropriate.

Positive Response Using SID Numbers

A positive response to a ZRS inquiry message will always begin with the response header characters 5L01, as shown below:

```
5L01HEADERXXXX01234  
XXVSP0000  
SID/XX81331911 ON FILE III RECORD IS SINGLE-STATE (or MULTI-STATE)
```

In addition to the above response, the III will transmit the applicable single-source (\$.A.SSO) or multi-source (\$.A.MSO) status message. Additional information regarding MSO and SSO messages is provided in [Chapter 4, Section 4.3](#), of this manual.

Response When the SID Number is Not on File or the SID Number is Flagged as Deceased or Expunged

The response to a ZRS inquiry message when the SID Number is no longer on file or it has been flagged as deceased or expunged will always begin with the response header characters NL01, as shown below:

```
NL01HEADERXXXX1234  
XY002015Y  
SID/XX81331911 NOT ON FILE
```

Example of a Response Transmitted When an FBI Pseudo-Pointer is Used in the SID Number Field

When attempting a ZRS inquiry message using an FBI pseudo-pointer in the SID Field, the III will send a reject message when an agency uses a pseudo-pointer in the SID Field in a ZRS inquiry message. The reject message will be sent beginning with the response header character JL01, as shown below:

```
JL01HEADERXXXX01234  
XXVSP0000  
REJECT ZRS.SID/XX**062056.PUR/A  
FOR THE FOLLOWING REASON(S)  
    FIELD ERROR SID  
END
```

ZRS Inquiry Message Responses Using an FBI UCN

The following is an example of a response when an FBI UCN is on file and a III record contains the inquiring state's SID Number:

```
5L01HEADERXXXX01234  
XXVSP0000  
FBI/9015174 ON FILE III RECORD IS SINGLE-STATE (OR MULTISTATE)
```

In addition to the above response, the III will transmit the applicable \$.A.SSO (Single-Source Offender Status) or \$.A.MSO (Multi-Source Offender Status) message.

The following is an example of a response when the FBI UCN is on file but the III record contains (1) only an FBI pseudo-pointer for the state, (2) no SID Number or FBI pseudo-pointer for the state, or (3) a SID Number that is associated with a subject who is deceased or a record that is expunged:

```
5L01HEADERXXXX01234  
XXVSP0000  
FBI/9015174 ON FILE NO SID ON FILE FOR YOUR STATE
```

The following is an example of a response when the FBI UCN is not on file:

```
NL01HEADERXXXX01234  
XXVSP0000  
FBI/9015174 NOT ON FILE
```

The following is an example of a response when the FBI UCN has been consolidated, when the subject is deceased, or when the record is deleted or expunged:

```
2L01HEADERXXXX01234  
XXVSP0000  
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR  
INQUIRY ON FBI/9015174 PUR/A
```

```
RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/9026285 20120121  
END
```

(or)

```
RECORD NO LONGER ON FILE - DECEASED  
PER POLICE DEPARTMENT Casper XX 20120121  
END
```

(or)

```
RECORD NO LONGER ON FILE - DELETED 20120121  
END
```

(or)

```
RECORD NO LONGER ON FILE - EXPUNGED 20120121  
END
```

ZI Inquiry

The second III administrative inquiry is the ZI message which offers the most information for resolution of discrepancies. A ZI inquiry message shows:

- Whether the III contains a state's SID Number or an FBI pseudo-pointer for state data and the date the SID Number or FBI pseudo-pointer was entered in the III.
- Whether the III record is single-source or multi-source.
- Whether the III record contains a Wanted Person or a National Sex Offender Registry (NSOR) pointer.
- The IFS and the SEL flag.
- The date the record was established in the III.
- The date the record was last updated.
- Other identifying data such as scars, marks, and tattoos (SMT); DOB; social security number (SOC); miscellaneous numbers (MNU); and alias (AKA).

The following example contains the data elements necessary for a ZI inquiry message. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an agency uses an MFC, the III will transmit a reject message.

Example:

```
2L01HEADERXXXX01234.ZI.NCDCI0000.FBI/9006600.PUR/A
```

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
ZI.	Message Key	--
NCDCI0000.	Designated State Agency Identifier	--
*FBI/9006600.	FBI UCN	FBI/
**PUR/A	Purpose Code	PUR/

*Agencies may use the SID Number in lieu of the FBI UCN. When an agency uses a SID Number, it must be preceded by SID/. Because an FBI pseudo-pointer for state data is not a SID Number, it cannot be used in the SID Field.

**Only Purpose Code A is allowed for ZI inquiry messages. [Chapter 3, Section 3.2](#), of this manual provides additional information about Purpose Code A.

Example Positive Response

The III will return a positive response to a ZI inquiry message in all instances with the response header characters of 9L01, as shown below:

```
9L01HEADERXXXX01234
XXXI0000
IDENTIFICATION SEGMENT III RECORD OF FBI/9006600 2013/01/20
ROVER,ROVING R M B MI DOB/19571201 HGT/507 WGT/140 EYE/BLK HAI/BLK
SMT/SC R ARM SOC/045508551 FPC/UCUCUCUCUCUCUCUCUCUC
ADDITIONAL IDENTIFIERS -
DOB/19560307 19560720 19560523 19571001 19470101
SOC/045308551
SMT/SC L ARM TAT UL ARM SC RF ARM
AKA/ROVER,ROVING CHIEFLITTLEHORN,TEST SMITH,JANE TEST,RECORD
AKA/TEST,THREE III TEST,TEST TEST
DLU/20101217 DRE/19891028
III FLAGS/C8
XT000004(19891028) XX0999960A(19891031) XY0000495X(19891121)
XR00000005(20101217) (IFS/X) (SEL/N) XYSX072056 (19991018)
XYWP072056 (19980126)
```

BASED ON FBI NUMBER ONLY

THIS RECORD CAN BE USED FOR ADMINISTRATIVE PURPOSES ONLY
AND CANNOT BE DISSEMINATED FOR ANY OTHER PURPOSE.
END

The following items provide an explanation of the information contained in a ZI inquiry message positive response.

- A. The date following the FBI/ is the date of the inquiry.
- B. The FPC (Fingerprint Classification)/Field of the Identification Segment III Record will be blank for records created after July 28, 1999. On that date, the Identification Division Automated System database was merged into the III segment of the Integrated Automated Fingerprint Identification System (IAFIS) as the then-primary maintenance provider for the criminal history records of the III. On September 7, 2014, the Next Generation Identification (NGI) System replaced the IAFIS.
- C. Only fields containing information will be provided.
- D. The date of the last update (DLU) will change whenever any change is made to any part of the record in the III.

- E. DRE is the date the record was established in the III.
- F. ADDITIONAL IDENTIFIERS contains additional identifiers associated with the record (i.e., DOB, SOC, AKA, SMT).
- G. III FLAGS is a two-character code indicating the type of pointer in the III record. The code indicates, for example, whether the record contains a state SID Number(s), an FBI pseudo-pointer(s), a US pointer for federal arrest(s), or a combination of the three. In addition, the code can indicate whether the record contains one or more state SID Numbers and a Wanted Person (WP) or National Sex Offender Registry (NSOR) pointer. Codes for this field follow.

<u>Code</u>	<u>Description</u>
08	The record contains an FBI pseudo-pointer for one state.
40	The record contains a state SID pointer for one state.
88	The record contains two or more FBI pseudo-pointers, or one US pointer, or one or more FBI pseudo-pointers and a US pointer.
C0	The record contains a state SID pointer for two or more states.
C8	The record contains a state SID pointer for one or more states and either an FBI pseudo-pointer for one or more states and/or a US pointer, or a SID pointer for one or more states and a Wanted Person or National Sex Offender Registry (NSOR) pointer.

- H. POINTERS list the SID Number(s) and/or FBI pseudo-pointer(s) in a record and, when applicable, a WP or NSOR (SX) pointer. If a subject's record contains both a WP and a NSOR notice, only the NSOR (SX) pointer will be provided in the ZI inquiry response. The date each III pointer was established will be shown in parentheses following each pointer, including the date of issue for the want and the date the individual was registered as a sexual offender in the NCIC. If a SID Number is modified to an FBI pseudo-pointer or vice versa, the date will change accordingly. The date will not change when a state SID Number is modified from one state SID Number to another, or if an FBI pseudo-pointer is modified from one FBI pseudo-pointer to another. A US pointer with the letters US as the first two characters indicates that the FBI's CJIS Division will provide federal arrest data in response to a record request. A pointer with WP in positions three and four represents Wanted Persons data to be provided by the FBI's CJIS Division. A pointer with SX in positions three and four represents Sexual Offender Registrant data to be provided by the FBI's CJIS Division. A WP pointer consists of the two-character state code followed by WP and the six-character DOB, e.g., NCWP062056. If the WP

information is from a federal agency, the two-character state code of the state in which the federal agency is located will be used rather than US. If there is more than one want in the III record, the WP pointer will represent only the first want to be disseminated by the FBI's CJIS Division. A NSOR pointer consists of the two-character state code followed by the letters SX and the six-character DOB, e.g., XXSX120363. If there is more than one NSOR record in the III record, the SX pointer will represent only the first NSOR record that the III disseminated.

NOTE: The III lists the WP or the SX pointers only when there is no state pseudo-pointer and/or no federal/US pseudo-pointer present. If both a WP and SX pointer exists, only the SX pointer will return on a ZI.

- I. If the inquiry was made by an agency using a SID Number, BASED ON SID NUMBER ONLY will appear in lieu of BASED ON FBI NUMBER ONLY.
- J. The caveat THIS RECORD CAN BE USED indicates the record is for administrative purposes and cannot be disseminated for any other purpose.
- K. The last line of the ZI response will be the word END.

Example of a Negative Response

A negative response to a ZI inquiry message will appear in the format illustrated in the following example. The first four characters of the response header will be NL01.

```
NL01HEADERXXXX01234  
XXDCI0000  
FBI/9026285 NOT ON FILE
```

When applicable, a SID/ will replace FBI/(number).

ZI Inquiry Message Response to an Inquiry by an Agency Using an FBI UCN When the Record is No Longer in the III Because it has Been Consolidated With Another Record, Deleted, Expunged, or the Subject is Deceased

The III will return a response header with 2L01 as its first four characters in response to an inquiry by agency using an FBI UCN when the record is no longer in the III because it has been consolidated with another record, when the subject of a record is deceased, or a record is deleted or expunged. Inquiries made by an agency with a SID Number will result in an NL01 type response because SID Numbers are retained only for audit (synchronization) purposes.

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Appendix S—Interstate Identification Index Synchronization Guidelines

2L01HEADERXXXX01234
XXXI0000

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON FBI/9015174 PUR/A

RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/9026285 20121201
END

(or)

RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT Casper XX 20121201
END

(or)

RECORD NO LONGER ON FILE - DELETED 20121201
END

(or)

RECORD NO LONGER ON FILE - EXPUNGED 20121201
END

Status Verification Messages-\$.A.SSO AND \$.A.MSO Unsolicited Messages

In addition to the positive ZRS response using SIDs, the III will transmit the applicable \$.A.SSO (Single-Source Offender Status) or \$.A.MSO (Multi-Source Offender Status) message. The \$.A.SSO and \$.A.MSO are unsolicited messages the III sends to owning states notifying them their record is single-source or multi-source.

The FBI's CJIS Division uses the term "single-source" to indicate that a particular record has one source or state contributing to the subject's record information. The FBI's CJIS Division uses the term "multi-source" to indicate that the particular record has more than one source contributing to the subject's Identity History Summary (IdHS) information (e.g., more than one state, one state and one federal IdHS record, or one state and a WP notice and/or an NSOR notice.)

\$.A.SSO Unsolicited Message—Single-Source Offender Status

When the status of a III record changes from multi-source to single-source, the III sends the remaining state of record a \$.A.SSO unsolicited message in the following format:

Message Format:

\$.A.SSO.SID/(3-10 characters).FBI/(1-9 characters).SINGLE-STATE OFFENDER

Example:

`$.A.SSO.SID/FL12345678.FBI/9000006.SINGLE-STATE OFFENDER`

Upon receipt of this message, the state system should automatically change the record's status flag to indicate single-source.

The III will also transmit a \$.A.SSO message following a MRS modification accept message to advise of the correct record status. More information concerning a MRS modification message is furnished in [Chapter 5, Section 5.1](#), of this manual. In addition, the III will transmit a \$.A.SSO message when the cancellation of WP and/or NSOR data from III changes the status of the record to single-source.

\$.A.MSO Unsolicited Message—Multi-Source Offender Status

When the status of a III record changes from single-source to multi-source based on adding a federal arrest, an arrest from another state, a wanted person notice, and/or a sexual offender registry notice, the III sends an \$.A.MSO unsolicited message to the original state of record. The format of that message is:

Message Format:

`$.A.MSO.SID/(3-10 characters).FBI/(1-9 characters). MULTI-STATE OFFENDER`

Example:

`$.A.MSO.SID/OR09334455.FBI/9010110.MULTISTATE OFFENDER`

Upon receipt of this message, the state system should automatically change the record's status flag to indicate multi-source. Additional pointers (SID, FBI UCN, WP, or NSOR) entered into a record already flagged in the III as multi-source will not result in additional \$.A.MSO unsolicited messages. The III will transmit this message only on the initial status change. In addition, the III will transmit a \$.A.MSO message following a MRS modification accept message to advise of the correct record status. More details on this topic are provided in [Chapter 5, Section 5.1](#), of this manual. For more information concerning status verification of III records, refer to [Chapter 4, Section 4.3](#), of this manual.

Synchronization File Processing Scenarios, Causes, and Solutions

Scenario	Cause	Solution
The SID Number is on the sync file and not on the FBI sync file.	The state may have received only one arrest print for this record and, therefore, no record was established in the III.	<ul style="list-style-type: none">• This is not a discrepancy since the state CCH may contain records that are not established at the FBI.• If the state wishes to establish the record in the III, the state should forward the fingerprints to the FBI to establish a III record.
The SID Number is not on the state sync file but is on the FBI sync file.	<ul style="list-style-type: none">• Arrest submission was not entered in the state's database; the record may belong to the state or may be another state's arrest; or• A federal arrest or a state system rejected the submission, but it was retained at the FBI.	<ul style="list-style-type: none">• The state should verify the presence of the record in its database (based on the name and DOB). The state should contact the BSS CSG at (304) 625-5590 to review the information.• The state may request a copy of the fingerprint images from the FBI to establish a record in the state's database, via the BSS CSG or by electronic IRQ.• The state may modify the SID in the III or relinquish control of the record to the FBI via the MRS message key.

Scenario	Cause	Solution
The SID Number is not on the state sync file but is on the FBI sync file.	<ul style="list-style-type: none">• The record has been expunged at the state, however is still active in the III;• The FBI UCN was not entered into the state record; or• The FBI UCN was placed in the incorrect state record.	<ul style="list-style-type: none">• The state must verify if it is a true expungement and forward the expungement order to the FBI for processing.• The state should locate the record in its database (based on the SID and name) and enter the FBI UCN into the record.• The state should locate the incorrect record in the state system based on the FBI UCN and remove it from that record.
The State Flag Indicator (SFI [S, M, E, C, D, and W]) on the state sync file is not equal to the SFI on the FBI sync file.	<ul style="list-style-type: none">• The record status in the III may have changed due to activity since the creation of the sync; or• The state system may have failed to reset the SFI based on the receipt of the SSO/MSO unsolicited message from the III, or the processing of the file maintenance update due to an expungement, consolidation, decess, or deletion by the FBI.	<ul style="list-style-type: none">• The state should transmit the ZRS administrative message to receive the current record status.• The state technical staff may need to conduct testing to ensure the state system is processing the SSO/MSO unsolicited message properly.• The state should verify if the record has been consolidated, expunged, deleted, or deceased, and correct in its database.

Scenario	Cause	Solution
The flag value (IFS/SEL) on the state sync file is not equal to the flag value on the FBI sync file.	<ul style="list-style-type: none">• The flag value changed since the creation of the sync file;• The state system did not update the value in the III: or• The III did not process the flag value update from the state.	The state should verify the correct flag status, update its database, if necessary; or update the III via the EHN update message key.

III Synchronization Key Points

- MRS can be used to modify the SID number.
- EHN can be used to set the appropriate IFS or SEL flag.
- ZRS can be used to verify the record status.
- ZI can be used to determine whether the III record is state active or pseudo-pointer, the status flag, date pointer established, and the date of the last update to the identification level of the record.
- DRS can be used to expunge a record.
- An agency must use form FD-1115 to modify the master identifiers (name, DOB, race, and sex) or notify the FBI of a possible consolidation.
- Sex, Race, IFS, and SEL must be an exact match.
- SID Number and FBI UCN must be exact matches.
- SFI reflects the current status of the record at the time the synchronization is done (M, S, D, E, C, or W).
- Unresolved issues will appear on the next synchronization.

An example of Form FD-1115, *Records Modification Form*, can be found in [Appendix H](#) of this manual. Agencies should contact the III help desk at 304-625-3652, as needed, for further guidance processing the III synchronization.

APPENDIX T

INTERSTATE IDENTIFICATION INDEX CORRELATION GUIDELINES

Introduction

One of the more common questions received by the III staff centers around taking control of records in the national index. A state takes control of records by setting pointers and indexing a State Identification (SID) Number in the III. To place a SID Number in the record, a state must verify that it has at least as much data as the FBI for the subject. This is done via the correlation process. The purpose of this appendix is to provide step-by-step guidance and procedures for state agencies wishing to participate in the FBI's CJIS Division's correlation process.

Background

The III provides for the decentralized exchange of record information and functions as part of the NGI System. The records are indexed in the III by either a state active pointer, indicated by a SID Number, or an FBI pseudo-pointer in the pointer data field. The III pointer identifies the state and federal agencies that contribute information to an individual's record.

The III pointer also indicates whether or not a state or federal agency is responsible for the maintenance and dissemination of the various portions of the record. A SID Number will be the active pointer in the III when a state is responsible for disseminating the criminal history for the record subject. Any submissions from states containing SID Numbers not already assigned to previously arrested individuals establish a new record in the III pointing to the state as the holder of the record information. When a SID Number is submitted with less than 10 characters, the FBI inserts zeros after the state code and before any other characters, if the state opts to "zero-fill" the SID numbers. For instance, the SID Number XX12345 would be entered in the III as XX00012345.

There are situations when the FBI's CJIS Division is responsible for disseminating the IdHS for record subjects. If the submission is from a non-III participating territory, the SID Number is not present, or the SID Number was previously assigned to a different individual, the record is then established in the III as an FBI pseudo-pointer record. In this case, the FBI's CJIS Division is responsible for the Identification History Summary (IdHS) for that record subject.

The III designates records as either single or multi-source. A single source record comes from one source such as the state or the FBI; whereas, a multi-source record has information from additional sources which may include another state, federal agency, sexual offender registry, or wanted person data. The pointer data in a particular multi-source record may contain active state SID Number pointers and/or FBI pseudo-pointers for the various contributors to the record.

The following is an example of a response that will be transmitted to the requestor when only the FBI's CJIS Division or the FBI's CJIS Division and one or more III state(s) furnishes a record. This type of response is transmitted with a header beginning with FL01. The header alerts the requestor that another III response can be expected.

Message:

FL01HEADERXXXX01234
DCFBIWA10

THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR RECORD REQUEST FOR FBI/9021100. INDIVIDUAL'S RECORD WILL BE COMPLETE WHEN ALL RESPONSES ARE RECEIVED FROM THE FOLLOWING SOURCES EXCEPT FOR THOSE INDICATED DECEASED:

FBI:	- FBI/9021100
NORTH CAROLINA	- STATE ID/NC00000008 - DECEASED
TEXAS	- STATE ID/TX00000007

AN ADDITIONAL RECORD MAY BE OBTAINED FROM FILES WITHIN YOUR STATE.
END

Correlation

States may request a correlation to compare the data on file at the state and the FBI and determine if they can support the record. The purpose of a correlation for III states is to identify the records in III that the FBI supports for the state. States may request the records based on a day-one forward approach (state's III participation start date to present), a portion of the records based on a specific year, or all pseudo-pointer records. The correlation data are provided in four record segments including the identification segment (EH), the supplemental identifiers segment (EHN), the arrest segment (ER2), the judicial segment (ER3), and the custody-supervision segment (ER4). States compare data in each record segment to identify records that have as much IdHS information as the FBI or more. These are records that the state can support.

Once the FBI's CJIS Division gathers the requested data, the FBI will place it on an encrypted compact disc (CD) and forwarded to the state. In order to decrypt and process the CD, WinZip 16.0 or newer is required. Division staff will attach a letter to the CD explaining its contents, the total record count requested, and the correlation record layout worksheets. Staff will mail the letter, the correlation medium, and the correlation tape layout worksheets to the state. In accordance with the FBI's CJIS Division policy, the III staff also sends a separate encrypted e-mail to the state with the password.

Comparison Process

Once the state receives this package, staff designated by the state should compare the FBI and state Computerized Criminal History (CCH) data. When comparing the records on the CCH correlation medium to the corresponding records in the state file, the state must match at least two identifiers for each record. This could be the FBI UCN (formerly the FBI Number) and SID Number, the FBI UCN and Date of Birth (DOB), or other markers. If only the numbers match, staff designated by the state must compare the name and the date of birth (or other identifiers) of the subject before considering the records to be the same.

The following subsections provide information for record comparison between the state's records and the corresponding records indexed in the III.

Identification Data

Name—The master name in the III record may be different from the master name in the corresponding state record. This may be the result of records that were established from fingerprints submitted by another state, by a federal agency, or by a civil event. In this situation, the state must compare the additional names listed as aliases (AKAs) on the subject's III record with the master name on the state record to help determine if the records are for the same subject. Name coding procedures used in the III are described in detail in [Chapter 3, Section 3.3](#), of this manual.

Date of Birth—The master date of birth in the III record may be different from the date of birth in the state record for the same reason given for name discrepancies—the result of records that were established from fingerprints submitted by another state, a federal agency, or a civil event. Agencies should use additional dates of birth listed on the subject's record for comparison purposes.

Sex and/or Race—When neither the sex nor the race descriptors match the state's record, the state should review its fingerprint submissions.

Entering Supplemental Identifiers—Although most supplemental identifiers are entered in the III as a result of fingerprint submissions, a state may have documentation not provided to the FBI that contains new supplemental identifier(s) (e.g., aliases or additional dates of birth). This may occur occasionally.

If a state record contains additional identifiers not in the III record, the state may add the identifiers to the III record if the record contains a state active pointer. The authorized state agency may add the information online using the EHN update message. A maximum of nine supplemental identifiers may be entered in one EHN update message.

Arrest Data

SID Number—When the CJIS Division staff process an arrest fingerprint submission, if the SID Number is present, it is recorded in the arrest cycle on the subject's record. When the fingerprint submission contains no SID Number or an incorrect SID Number, the arrest cycle in the III will reflect no SID Number, or a SID Number not matching the current SID Number indexed for the subject. As a result, when a state desires to assume control of a record, it must determine the correct SID Number to index in the III for the subject.

Date of Arrest—The Date of Arrest (DOA) Field contains nine characters. A III record may reflect multiple arrest cycles for one offense. For example, an individual may be fingerprinted on separate occasions for the same offense by different arresting agencies. Each of these arrests will be reflected in the III record. In addition, fingerprint submissions from custodial agencies may be reflected as arrest prints in the III record.

If there are arrest(s) at the state and not at the FBI, the state should provide the arrest information to the FBI for entry in the record. If the state identifies records at the FBI and not on the state record, the state should contact the FBI's CJIS Customer Service Group at 304-625-5590 to request a copy (if permissible by state statute) of the fingerprints for entry in their state record information. If there are records that do not belong to the state (federal or other state arrests) on the correlation, or if the records should have been deleted from the FBI's database, the state should contact the Customer Service Group for corrections.

Although a state may record its data differently than the III, it should ensure that its record reflects essentially the same arrest, court, and custody data as contained in the III. If a state record contains less information, the FBI's CJIS Division will continue to retain responsibility for dissemination of the record.

Court and Custody Data

If the III is in the process of retiring a record due to the death of the subject at the time the CCH correlation medium is produced, the last entry will contain arrest and court information indicating DECEASED and a Court Disposition Numeric (CDN) code of 319 (Deceased). **These records should not be indexed with the state's SID.** Should the state have information indicating the subject is alive, the state should provide documentation to the FBI's CJIS Division requesting that the subject's record be reestablished.

For additional assistance in obtaining fingerprint images, please contact the FBI's CJIS Division's Customer Service Group at 304-625-5590.

Updating Records

States may update, modify, delete or append data using III message keys (MKE). For further guidance on message keys, please refer to [Chapter 5](#) of this manual.

Entering Supplemental Identifiers (EHN Update Message)

Although the majority of supplemental identifiers are entered in the III as a result of fingerprint submissions, a state may have documentation not provided to the FBI that contains new supplemental identifier(s) (e.g., aliases or additional dates of birth). This may occur occasionally.

If a state record contains additional identifiers not in the III, the state may add the identifiers to the III if the record contains an active state pointer. The authorized state agency may add the information electronically using the EHN update message. A maximum of nine supplemental identifiers may be entered in one EHN update message.

EXAMPLE EHN UPDATE MESSAGE AND ACCEPT MESSAGE

The following text furnishes an example of an EHN update message, a list of the fields that may be contained in the message, and the Message Field Code (MFC) that must be used. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used in those fields, the III will transmit a reject message.

Message:

```
2L01HEADERXXXX01234.EHN.MD1012600.MD81331911.9015174.AKA/DOE,
JP.DOB/19561126.MNU/PP-88123.SMT/SC R ARM.SOC/223456789(EOT)
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
EHN.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
MD81331911.	SID Number	--
9015174.	FBI UCN	--
AKA/DOE, JP.	Alias	AKA/
DOB/19561126.	Date of Birth	DOB/
MNU/PP-88123.	Miscellaneous Number	MNU/
SMT/SC R ARM.	Scars, Marks, Tattoos	SMT/
SOC/223456789	Social Security Number	SOC/

Modify Record SID (MRS) MKE

For the state to assume control of the record, the FBI UCN and the SID Number must both match what is in the FBI record. If only one of the numbers match, the state must make the comparison using additional identifiers as previously shown. The state must also determine that its record reflects essentially the same arrest, court, and custody data as contained in the FBI record. If the state's records do not contain as much information as the FBI, the SID Number should not be placed on those records in the III.

Once the records that would be most appropriately supported by the state are identified and any discrepancies have been addressed, the state can establish pointers by using the MRS (Modify Record SID) Message Key (MKE). The MRS MKE is used to add, correct, or modify a SID Number to an FBI pseudo-pointer. When the III receives an MRS MKE to add or correct a SID Number, the III automatically inserts the new or corrected SID Number in the III pointer area and the appropriate arrest event(s) on file for that state. An MRS MKE transmitted to modify the state's SID Number to an FBI pseudo-pointer results only in the modification of the III pointer value. The SID Number(s) that is stored in the arrest event(s) for the state is not modified.

The state can write the MRS MKE to a medium such as a compact disc and submit it to the CJIS Division for processing, or the state can choose to transmit the information to the III online. Authorized III users must transmit an MRS MKE to add a SID Number (1) when the state desires to assume responsibility for a record initially established with an FBI pseudo-pointer or (2) when a SID Number has been rejected.

This describes the two methods a state may choose from in more detail to place their SID Number in the record in III:

1. **Online MRS transactions**—if there is a large volume, the state must place a one-second delay between each transaction or only transmit 1,000 transactions at a time to prevent a system overload within the III. The state must be able to handle the return traffic from the III as a result of the processing of the MRS transactions, (i.e., accept/reject messages and the Single-Source Offender [SSO] or Multi-Source Offender [MSO] messages).
2. **Batch load MRS transactions**—the state must contact the III staff to arrange for the testing of the data prior to submission to the FBI. The transactions must be in the MRS format, the medium must be in a variable format, the last five characters of the 2L01 header must be sequential numbers, and each transaction must have an end-of-transmission indicator (this will be an invisible character). An agency should send a sampling (five to ten transactions) of the transactions to the III team for review prior to mailing. Any errors generated may be provided via a CD. Any state or territory (III or not) may request a correlation by contacting the III staff of the FBI's CJIS Division by e-mail to <fbi-iii@leo.gov>.

The following example message and list fields show the items that must be present in an MRS MKE to add a SID Number. The new SID Number is the only field in the message requiring an MFC. MFCs shown as two hyphens (--) indicate mandatory positional fields not requiring field abbreviations in the message. If an agency uses an MFC, the III will transmit a reject message.

The following is guidance on how to structure and submit the MRS MKE:

Message:

```
2L01HEADERXXXX01234.MRS.MD1012600.19590110.9015174.SID/MD81331911
```

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
MRS.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
19590110.	Date of birth*	--
9015174.	FBI UCN	--
SID/MD81331911	SID to be indexed	SID/

In response to a MRS MKE, an accept message will be transmitted by the III as shown in the following example:

```
KL01HEADERXXXX01234
MD1012600
ACCEPT SID/MD81331911 FOR FBI/9015174
III RECORD IS SINGLE-STATE (or MULTI-STATE)
```

Following the accept message, the III will transmit either a \$.A.SSO (Single-Source Offender Status) or a \$.A.MSO (Multi-Source Offender Status) unsolicited message as appropriate.

Example:

```
$.A.SSO.SID/MD81331911.FBI/9015174.SINGLE-STATE OFFENDER
```

The state can set the appropriate status flag in the state file based on the last line of the accept response or the \$.A. unsolicited message.

NOTE: Because the \$.A.SSO or the \$.A.MSO unsolicited message is a separate message, it may not immediately follow the accept message because other III messages have a higher priority.

Whichever method the state uses to establish its SID as a III pointer, it must coordinate the effort with the FBI's CJIS Division staff. Media for adding the active state SIDs may be submitted periodically as III records are matched with records from the state's database. If further assistance is needed on the correlation process, please contact the III staff at 304-625-3652 or by e-mail to <fbi-iii@leo.gov>.

Examples of the Correlation Medium

The III Correlation medium provides the state with all of its III data maintained by either the state or the FBI's CJIS Division. The following four pages show the record layout work sheets for this medium.

RECORD LAYOUT WORK SHEET
 IAFIS CORRELATION
 Record Name IDENTIFICATION SEGMENT (SEG 1) Cartridge OPT
 Data Set Name III OUT.XX.CCH(XX-2-CHARACTER STATE CODE)
 Medium OPT Reel OPT
 Length Record 262 F V EBCDIC OPT 1800 Density None Labels Page 1 of 4
Block 26200 FB X VB 6250 OPT* Standard 2001/02/16
8MM OPT 18 Track OPT 36 Track OPT
 ASCII Opt

IDENTIFICATION (SEGMENT 1 OF 4)

CHAR	MKE (L) **	ORI	FBI (R)	NAM (L) ***	REC'D FORM	FORMAT	DENSITY	Labels	
	A/N	A/N (not stored)	A/N	A/S/N	F	V	EBCDIC	None	
DEC	1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	1 2 3 4 5 6 7 8 9 A B C D E F 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	Record	F	V	EBCDIC	None
HEX	1 2 3 4 5 6 7 8 9 A B C D E F 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	1 2 3 4 5 6 7 8 9 A B C D E F 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	1 2 3 4 5 6 7 8 9 A B C D E F 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	1 2 3 4 5 6 7 8 9 A B C D E F 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	Record	F	V	EBCDIC	None
DEC	61 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	61 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	61 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	61 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	Record	F	V	EBCDIC	None
HEX	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	Record	F	V	EBCDIC	None

CHAR	HGT	WGT	EYE	HAIR	SEX	SMT (L) ***	SOC ***	NAM (R) ***	FPC	
	N	N	A	A	A	A	N	A/S/N	A/N	
DEC	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	
HEX	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F

CHAR	FPC
DEC	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127
HEX	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F

CHAR	FILLER
DEC	64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127
HEX	40 41 42 43 44 45 46 47 48 49 5A 5B 5C 5D 5E 5F 60 61 62 63 64 65 66 67 68 69 6A 6B 6C 6D 6E 6F 70 71 72 73 74 75 76 77 78 79 7A 7B 7C 7D 7E 7F

IDENTIFICATION SEGMENT DATA ELEMENTS-BASE RECORD

LEGEND:

- A - Alpha Characters
- S - Special Characters
- N - Numeric Characters
- L - Data not filling field is left justified
- R - Data not filling field is right justified
- If no L or R indicated, data must fill field
- * - If used, must be IBM standard labels.
- ** - The MKE will be either EH or ENH.
- *** - Supplemental identifiers may be appended to this field (Maximum of 9 except 99 for NAM).

Message Key (4) Eye Color EYE (3)

Originating Agency Identifier (9) Hair Color HAI (3)

(Not Stored) Skin SKN (3)

FBI Number (9) Scars, Marks, Tattoos, etc. SMT (10)

Name (30) Social Security Number SOC (9)

Sex (1) Miscellaneous Number MNU (15)

Race (1) Fingerprint Classification FPC (20)

Place of Birth (2) Identification Comments ICO (50)

Date of Birth (8) DOB (50)

Height (3) HGT (3)

Weight (3) WGT (3)

Appendix T—Interstate Identification Index Correlation Guidelines

JUDICIAL (SEGMENT 3 OF 4)

RECORD LAYOUT WORK SHEET

IAFIS CORRELATION

Record Name: JUDICIAL SEGMENT (SEG 3)

Data Set Name: III OUT.XX.CCH (XX-2-CHARACTER STATE CODE)

Medium: Reel (OPT) / Cartridge (OPT)

Length: Record 262 / Block 26200 / 8MM (OPT)

Record Form: F (OPT) / V (OPT) / X (OPT) / VB (OPT)

Format: EBDCIC 1600 (OPT) / 6250 (OPT) / 18 Track (OPT) / 36 Track (OPT)

Density: None (OPT) / Standard (OPT)

Labels: Page 3 of 4 / Date 2001/02/16

Form: ASCII (OPT)

CHAR	MRE (L) **	ORI	STD (R)	FBI (R)	DOR (R)	CCT ***
1	05	A	A/N	A/N	A	N
2	06	B	A/N	A/N	A	N
3	07	C	A/N	A/N	A	N
4	08	D	A/N	A/N	A	N
5	09	E	A/N	A/N	A	N
6	10	F	A/N	A/N	A	N
7	11	G	A/N	A/N	A	N
8	12	H	A/N	A/N	A	N
9	13	I	A/N	A/N	A	N
10	14	J	A/N	A/N	A	N
11	15	K	A/N	A/N	A	N
12	16	L	A/N	A/N	A	N
13	17	M	A/N	A/N	A	N
14	18	N	A/N	A/N	A	N
15	19	O	A/N	A/N	A	N
16	20	P	A/N	A/N	A	N
17	21	Q	A/N	A/N	A	N
18	22	R	A/N	A/N	A	N
19	23	S	A/N	A/N	A	N
20	24	T	A/N	A/N	A	N
21	25	U	A/N	A/N	A	N
22	26	V	A/N	A/N	A	N
23	27	W	A/N	A/N	A	N
24	28	X	A/N	A/N	A	N
25	29	Y	A/N	A/N	A	N
26	30	Z	A/N	A/N	A	N
27	31	0	A/N	A/N	A	N
28	32	1	A/N	A/N	A	N
29	33	2	A/N	A/N	A	N
30	34	3	A/N	A/N	A	N
31	35	4	A/N	A/N	A	N
32	36	5	A/N	A/N	A	N
33	37	6	A/N	A/N	A	N
34	38	7	A/N	A/N	A	N
35	39	8	A/N	A/N	A	N
36	40	9	A/N	A/N	A	N
37	41	A	A/N	A/N	A	N
38	42	B	A/N	A/N	A	N
39	43	C	A/N	A/N	A	N
40	44	D	A/N	A/N	A	N
41	45	E	A/N	A/N	A	N
42	46	F	A/N	A/N	A	N
43	47	G	A/N	A/N	A	N
44	48	H	A/N	A/N	A	N
45	49	I	A/N	A/N	A	N
46	50	J	A/N	A/N	A	N
47	51	K	A/N	A/N	A	N
48	52	L	A/N	A/N	A	N
49	53	M	A/N	A/N	A	N
50	54	N	A/N	A/N	A	N
51	55	O	A/N	A/N	A	N
52	56	P	A/N	A/N	A	N
53	57	Q	A/N	A/N	A	N
54	58	R	A/N	A/N	A	N
55	59	S	A/N	A/N	A	N
56	60	T	A/N	A/N	A	N
57	61	U	A/N	A/N	A	N
58	62	V	A/N	A/N	A	N
59	63	W	A/N	A/N	A	N
60	64	X	A/N	A/N	A	N
61	65	Y	A/N	A/N	A	N
62	66	Z	A/N	A/N	A	N
63	67	0	A/N	A/N	A	N
64	68	1	A/N	A/N	A	N
65	69	2	A/N	A/N	A	N
66	70	3	A/N	A/N	A	N
67	71	4	A/N	A/N	A	N
68	72	5	A/N	A/N	A	N
69	73	6	A/N	A/N	A	N
70	74	7	A/N	A/N	A	N
71	75	8	A/N	A/N	A	N
72	76	9	A/N	A/N	A	N
73	77	A	A/N	A/N	A	N
74	78	B	A/N	A/N	A	N
75	79	C	A/N	A/N	A	N
76	80	D	A/N	A/N	A	N
77	81	E	A/N	A/N	A	N
78	82	F	A/N	A/N	A	N
79	83	G	A/N	A/N	A	N
80	84	H	A/N	A/N	A	N
81	85	I	A/N	A/N	A	N
82	86	J	A/N	A/N	A	N
83	87	K	A/N	A/N	A	N
84	88	L	A/N	A/N	A	N
85	89	M	A/N	A/N	A	N
86	90	N	A/N	A/N	A	N
87	91	O	A/N	A/N	A	N
88	92	P	A/N	A/N	A	N
89	93	Q	A/N	A/N	A	N
90	94	R	A/N	A/N	A	N
91	95	S	A/N	A/N	A	N
92	96	T	A/N	A/N	A	N
93	97	U	A/N	A/N	A	N
94	98	V	A/N	A/N	A	N
95	99	W	A/N	A/N	A	N
96	100	X	A/N	A/N	A	N
97	101	Y	A/N	A/N	A	N
98	102	Z	A/N	A/N	A	N
99	103	0	A/N	A/N	A	N
100	104	1	A/N	A/N	A	N

CHAR	COL ***	CIT (L) ***	CON ***	COL (L) ***	CFN (L) ***
1	05	A	A	A	N
2	06	B	A	A	N
3	07	C	A	A	N
4	08	D	A	A	N
5	09	E	A	A	N
6	10	F	A	A	N
7	11	G	A	A	N
8	12	H	A	A	N
9	13	I	A	A	N
10	14	J	A	A	N
11	15	K	A	A	N
12	16	L	A	A	N
13	17	M	A	A	N
14	18	N	A	A	N
15	19	O	A	A	N
16	20	P	A	A	N
17	21	Q	A	A	N
18	22	R	A	A	N
19	23	S	A	A	N
20	24	T	A	A	N
21	25	U	A	A	N
22	26	V	A	A	N
23	27	W	A	A	N
24	28	X	A	A	N
25	29	Y	A	A	N
26	30	Z	A	A	N
27	31	0	A	A	N
28	32	1	A	A	N
29	33	2	A	A	N
30	34	3	A	A	N
31	35	4	A	A	N
32	36	5	A	A	N
33	37	6	A	A	N
34	38	7	A	A	N
35	39	8	A	A	N
36	40	9	A	A	N
37	41	A	A	A	N
38	42	B	A	A	N
39	43	C	A	A	N
40	44	D	A	A	N
41	45	E	A	A	N
42	46	F	A	A	N
43	47	G	A	A	N
44	48	H	A	A	N
45	49	I	A	A	N
46	50	J	A	A	N
47	51	K	A	A	N
48	52	L	A	A	N
49	53	M	A	A	N
50	54	N	A	A	N
51	55	O	A	A	N
52	56	P	A	A	N
53	57	Q	A	A	N
54	58	R	A	A	N
55	59	S	A	A	N
56	60	T	A	A	N
57	61	U	A	A	N
58	62	V	A	A	N
59	63	W	A	A	N
60	64	X	A	A	N
61	65	Y	A	A	N
62	66	Z	A	A	N
63	67	0	A	A	N
64	68	1	A	A	N
65	69	2	A	A	N
66	70	3	A	A	N
67	71	4	A	A	N
68	72	5	A	A	N
69	73	6	A	A	N
70	74	7	A	A	N
71	75	8	A	A	N
72	76	9	A	A	N
73	77	A	A	A	N
74	78	B	A	A	N
75	79	C	A	A	N
76	80	D	A	A	N
77	81	E	A	A	N
78	82	F	A	A	N
79	83	G	A	A	N
80	84	H	A	A	N
81	85	I	A	A	N
82	86	J	A	A	N
83	87	K	A	A	N
84	88	L	A	A	N
85	89	M	A	A	N
86	90	N	A	A	N
87	91	O	A	A	N
88	92	P	A	A	N
89	93	Q	A	A	N
90	94	R	A	A	N
91	95	S	A	A	N
92	96	T	A	A	N
93	97	U	A	A	N
94	98	V	A	A	N
95	99	W	A	A	N
96	100	X	A	A	N
97	101	Y	A	A	N
98	102	Z	A	A	N
99	103	0	A	A	N
100	104	1	A	A	N

CHAR	COL ***	CSS (R) ***	CMT (R) ***	CFR (R) ***	CFN (R) ***	CFN (L) ***
1	05	A	A/S/N	A/S/N	N	N
2	06	B	A/S/N	A/S/N	N	N
3	07	C	A/S/N	A/S/N	N	N
4	08	D	A/S/N	A/S/N	N	N
5	09	E	A/S/N	A/S/N	N	N
6	10	F	A/S/N	A/S/N	N	N
7	11	G	A/S/N	A/S/N	N	N
8	12	H	A/S/N	A/S/N	N	N
9	13	I	A/S/N	A/S/N	N	N
10	14	J	A/S/N	A/S/N	N	N
11	15	K	A/S/N	A/S/N	N	N
12	16	L	A/S/N	A/S/N	N	N
13	17	M	A/S/N	A/S/N	N	N
14	18	N	A/S/N	A/S/N	N	N
15	19	O	A/S/N	A/S/N	N	N
16	20	P	A/S/N	A/S/N	N	N
17	21	Q	A/S/N	A/S/N	N	N
18	22	R	A/S/N	A/S/N	N	N
19	23	S	A/S/N	A/S/N	N	N
20	24	T	A/S/N	A/S/N	N	N
21	25	U	A/S/N	A/S/N	N	N
22	26	V	A/S/N	A/S/N	N	N
23	27	W	A/S/N	A/S/N	N	N
24	28	X	A/S/N			

Appendix T—Interstate Identification Index Correlation Guidelines

CUSTODY-SUPERVISION (SEGMENT 4 OF 4)

RECORD LAYOUT WORK SHEET
 IAFIS CORRELATION
 Record Name CUSTODY-SUPERVISION SEGMENT (SEG 4)
 Data Set Name III OUT.XX.CCH (XX-2-CHARACTER STATE CODE)
 Medium Reel OPT
 Record Form F V
 Length Record 262
 Block 26200
 8MM OPT
 Format EBDCIC OPT 1600
 Density None OPT
 Standard OPT
 Labels Page 4 of 4
 Date 2001/02/16
 Record Form FB X VB
 ASCII OPT
 18 Track OPT
 36 Track OPT

CHAR	MEE (L) **	ORI	SSN	SLE (L)	STD (R)	FBI (R)	DOA (R)	S C
DEC	64 65 66 67	A/N	N	A/S/N	A/N	A/N	A N	A
HEX	1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63	A/N	N	A/S/N	A/N	A/N	A N	A

CHAR	SSD	SSN	SLE (L)	STD (R)	FBI (R)	DOA (R)	OCS (L)	
DEC	64 65 66 67	82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	N	A/S/N	A/N	A/N	A N	A
HEX	40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127	N	A/S/N	A/N	A/N	A N	A	

CHAR	OCS
DEC	128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180 181 182 183 184 185 186 187 188 189 190 191
HEX	80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180 181 182 183 184 185 186 187 188 189 190 191

CHAR	FILLER
DEC	192 193 194 195 196 197 198 199 200 201 202 203 204 205 206 207 208 209 210 211 212 213 214 215 216 217 218 219 220 221 222 223 224 225 226 227 228 229 230 231 232 233 234 235 236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255
HEX	C0 C1 C2 C3 C4 C5 C6 C7 C8 C9 CA CB CC CD CE CF D0 D1 D2 D3 D4 D5 D6 D7 D8 D9 DA DB DC DD DE DF E0 E1 E2 E3 E4 E5 E6 E7 E8 E9 EA EB EC ED EE EF F0 F1 F2 F3 F4 F5 F6 F7 F8 F9 FA FB FC FD FE FF

CHAR	FILLER
DEC	256 257 258 259 260 261 262
HEX	100 101 102 103 104 105 106

LEGEND:
 A - Alpha Characters
 S - Special Characters
 N - Numeric Characters
 L - Data not filling field is left justified
 R - Data not filling field is right justified
 If no L or R indicated, data must fill field
 * - If used, must be IBM standard labels
 ** - The MEE will always be E84.
 CUSTODY-SUPERVISION SEGMENT DATA ELEMENTS (SEGMENT 4)
 Message Key MKE (4)
 Agency Identifier ORI (29)
 State Identification Number SID (10)
 FBI Number FBI (9)
 Date of Arrest or Print DOA (9)
 Status Change Character SCC (1)
 Custody or Supervision (8)
 Status Starting Date SSD (3)
 Status-Numeric SSN (50)
 Custody or Supervision SLE (10)
 Status-Literal Extended OCS (10)
 Originating Agency Case Number

APPENDIX U
ACRONYMS AND CODES

Acronym or Code	Translation
ADR	Address
AKA	Alias
AM	Administrative Message
APB	Advisory Policy Board
ATN	Attention Field
BLD	Building
CCH	Computerized Criminal History
CCT	Court Count Number
CDN	Court Disposition Numeric
CEN	Civil Event Name
CFN	Applicant Fingerprint Submissions Not Identified Message
CFR	Applicant Fingerprint Submissions Identified Message
CFR	<i>Code of Federal Regulations</i>
CHR	Criminal History Record
CHRI	Criminal History Record Information
CIA	Central Intelligence Agency
CJIS Division	Criminal Justice Information Services Division
COL	Court Offense Literal
CON	Record Consolidation
CON	Court Offense Numeric

Acronym or Code	Translation
COMPACT	National Crime Prevention and Privacy Compact Act
CPI	Criminal Print Identified
CPL	Other Court Sentence Provision Literal
CRI	Controlling Agency Identifier
CSA	CJIS Systems Agency
CSO	CJIS Systems Officer
DEC	Deceased-SID Retired
DIS	Defense Investigative Service
DLU	Date of Last Update
DMI	Disposition Maintenance Indicator
DOA	Date of Arrest
DOB	Date of Birth
DOD	Department of Defense
DOO	Date of Offense
DOS	Department of State
DOT	Department of Transportation
DPT	Department
DRE	Date Record Entered
DRS	Delete Record SID
DSP	Disposition Message Key
EBTS	<i>Electronic Biometric Transmission Specification</i>

Acronym or Code	Translation
EHN	Enter Supplemental Identifier(s)
EVT	Event
EVI	Unique Event ID
EXP	FBI UCN Expunged
EXS	SID Number Expunged
FBI	Federal Bureau of Investigation
HDR	Header
IAFIS	Integrated Automated Fingerprint Identification System
IDAS	Identification Division Automated System
IDGRP	Identity Group
IdHS	Identity History Summary
IDENT	Identified
IFFS	Identification for Firearms Sales Program
IFS	IFFS Criminal History Record Flag
III	Interstate Identification Index
ITMS	Information Technology Management Section
MFC	Message Field Code
MKE	Message Key(s)
MNU	Miscellaneous Number
NONIDENT	Unidentified
NPR	No Prior Record

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III/NFF MANUAL
Appendix U—Acronyms and Codes

Acronym or Code	Translation
NSA	National Security Agency
OAC	Originating Agency City
OAN	Originating Agency Name
OCA	Originating Agency Case Number
OPM	U.S. Office of Personnel Management
ORI	Originating Agency Identifier
PEM	Previously Established Multi-Source Record Advise NFF State of Erroneous Multi-Source Submission
PES	Previously Established Single-Source Record Advise NFF State of Erroneous Single-Source Submission
PIR	Prior Record-SID Number Entered in III Record
POB	Place of Birth
PUR	Purpose Code
QH	Inquiry Message (III Name Check)
QR	Record Request Message (Criminal History Record)
QW	Inquiry Message (NCIC Person Files, except the Unidentified Person File)
QWI	Inquiry Message (NCIC Person Files, except the Unidentified Person File and III Name Check)
RAC	Race
RNP	SID Rejected-No Prior III Record
RPR	SID Rejected-Prior III Record
SCIA	Security Clearance Information Act

Acronym or Code	Translation
SEL	Seal Flag
SEX	Sex
SIB	State Identification Bureau
SID	State Identification Number
SMT	Scars, Marks, and Tattoos
SOC	Social Security Number
SOR	Sexual Offender Registry
SPRQ	Special Request
SSO	Single-Source Offender
SX	National Sex Offender Registry Pointer
UCN	Universal Control Number
U.S.	United States
U.S.C.	United States Code
WP	Wanted Person Pointer
XHN	Cancel Supplemental Identifier
XPL	Explanation
ZI	Administrative Inquiry Message (Record Data Fields)
ZIP	ZIP Code
ZR	Administrative Inquiry Message (Record Availability)
ZRS	Administrative Inquiry Message (Record Status)

APPENDIX V**GLOSSARY****DEFINITION OF TERMS**

The following definitions are provided for technical terms that are used throughout this manual. A few acronyms are included in this list; however, a more comprehensive list of acronyms is provided in the section following this glossary.

Administration of Criminal Justice—The performance of any of the following activities: detection, apprehension, detention, pretrial release, posttrial release, prosecution, adjudication, correctional supervision, or rehabilitation of accused persons or criminal offenders.

CCH—The acronym for computerized criminal history.

CCNR File Modification—CCNR is the acronym for computerized crime name and record. A CCNR file modification is a change to any data field in an NGI Identity History Summary.

CHRI—The acronym for criminal history record information.

Civil Retain Ident Tenprint—A noncriminal tenprint (fingerprint image) that has been identified with a criminal record and retained at the FBI.

Civil Return Ident Tenprint—A noncriminal tenprint (fingerprint image) that has been identified with a criminal record and destroyed.

Civil Retain Nonident Tenprint—A noncriminal tenprint (fingerprint image) that was not identified with a criminal record and retained at the FBI.

Civil Return Nonident Tenprint—A noncriminal tenprint (fingerprint image) that was not identified with a criminal record and destroyed.

CJIS Division—The acronym for the FBI's Criminal Justice Information Services Division.

Compact—An agreement between participating states and the federal government to permit interstate dissemination of national criminal history records based on federal statute, federal executive order, or state statute approved by the U.S. Attorney General.

Consolidation—The merging of multiple records for an individual into one record.

Criminal Retain Ident Tenprint—A criminal tenprint (fingerprint image) that has been identified with a criminal record and is retained at the FBI.

Criminal Return Ident Tenprint—A criminal tenprint (fingerprint image) that has been identified with a criminal record and is destroyed.

Criminal Retain Nonident Tenprint—A criminal tenprint (fingerprint image) that has not been identified with a criminal record and is retained at the FBI.

Criminal Return Nonident Tenprint—A criminal tenprint (fingerprint image) that has not been identified with a criminal record and is destroyed.

Cycle Expungement—The expungement from FBI files of all data pertaining to a specific date of arrest.

Death Notice—A notice concerning the death of a subject that has been added to the record for which the contributor has requested a response.

Designated Agency—An agency designated by a tenprint (fingerprint image) contributor to receive a record response. This information is placed in the “Send Copy To” block on the back of the fingerprint submission.

Disposition Notice—A disposition added to the record for which the contributor has requested a response.

Expungement—When a state record ceases to exist due to a court order or a purge, the state must remove its State Identification (SID) Number from the III and any other associated data from the III record.

FBI—The acronym for Federal Bureau of Investigation.

FBI Pseudo-Pointer—A pointer placed in a criminal history record to indicate the record information is maintained by the FBI. The FBI pseudo-pointer consists of the state abbreviation followed by two asterisks and the six character numeric master date of birth for the record subject.

Flash Notice—A form (I-12) submitted to the FBI to advise that an individual is on supervision for parole, probation, mandatory release, supervised release, pretrial diversion, or special parole terms. The form provides the beginning and ending dates of supervision so that the submitting agency can be advised of any interim activity (e.g., subject is arrested while under supervision).

Ident—This term is a shortened version of identified or identification.

IdHS—This term means an NGI Identity History Summary.

III—The acronym for Interstate Identification Index.

III Participant—A state that provides records from its files upon electronic receipt of a request from the III. For a state to be an III participant, it must meet the minimum standards for participation.

III State File—The record system maintained by a designated agency in a III state containing records based on arrest fingerprints submitted by arresting agencies within the state.

Multi-Source—The FBI's CJIS Division uses the term multi-source to indicate that a particular record has more than one source, or state, contributing to the subject's record. For example, a record having more than one state's record, one state and one federal record, or one state's record and a wanted person notice and/or sexual offender registry notice.

NCN—The acronym for NGI Control Number, which is an identifier supplied by authorized contributors in requests and may be used to correlate the original requests to responses.

NFF—The acronym for National Fingerprint File.

NFF Record—A record indexed in the III with an NFF state’s SID Number for which the state no longer needs to submit subsequent criminal tenprints (fingerprint images), disposition forms, or expungement orders.

NFF State or Participant—A state participating in the III that has agreed to comply with the requirements for operation of the NFF and no longer submits subsequent criminal tenprints (fingerprint images), disposition forms, or expungement orders for records indexed in the III with its SID Number. Any state desiring to become an NFF participant must first ratify the Compact.

NFF State Agency—The designated agency in an NFF state that is responsible for maintaining the state database and for updating the III database.

NGI—The acronym for Next Generation Identification.

Nonident—This term is the shortened version of unidentified.

Non-NFF State—A III participating state or nonparticipating state that continues to forward subsequent tenprints (fingerprint images), disposition forms, and related information to the FBI CJIS Division.

Partial Expungement—The expungement of a segment of arrest events, or a segment of the arrest charges in an arrest event, from a subject’s criminal history record.

Response Request—An online request for a record not based on the processing of a tenprint (fingerprint image), disposition form, or other documentation.

SID—The acronym for State Identification Number.

Single-Source—The FBI’s CJIS Division uses the term single-source to indicate that a particular record has one source, or state, contributing to the subject’s record. For example, a record having one state or one federal record.

Sealed Record—With respect to adults, that portion of a record that is (1) not available for criminal justice use; (2) not supported by fingerprints or other accepted means of positive

identification; or (3) subject to restrictions on dissemination for noncriminal justice purposes pursuant to a court order related to a particular subject or pursuant to a state or federal statute that requires action on a sealing petition filed by a particular record subject. With respect to juveniles, sealed record information is whatever each state determines is a sealed record under its own law and procedure.

Sexual Offender Registry Notice—Data elements from the NCIC National Sex Offender Registry are appended to the subject's FBI UCN.

Status Flag Indicator (SFI)—Indicates the current status of the III record. Options are C—Consolidated, D—Deceased, E—Expunged, M—Multi-Source, S—Single-Source, and W—Deleted.

Tenprint—A fingerprint submission consisting of the images of all ten fingers or the total number of existing fingers of a subject.

UCN—The acronym for Universal Control Number (FBI UCN formerly referred to as FBI Number).

Want/Flash Cancellation—Modification—The cancellation of a want or flash (previously submitted on Form I-12) or the modification of information previously submitted.

Want Notice—A tenprint (fingerprint image) or other document identified with a record containing wanted person information.

APPENDIX W
QUICK REFERENCE

INQUIRY MESSAGES

Message Key	Purpose	Location (Chapter)
QH	Query Index	Ch. 3 Sec. 3.3
QR	Query Record	Ch. 3 Sec. 3.4
QWI	Query Wanted Person	Ch. 3 Sec. 3.5
ZR	Record Maintenance	Ch. 3 Sec. 3.6
ZI	Record Maintenance	Ch. 3 Sec. 3.7
ZRS	Record Maintenance	Ch. 3 Sec. 3.8

TEST MESSAGE

Message Key	Purpose	Location (Chapter)
TI\$	Test Receipt of III Unsolicited Messages	Ch. 2 Sec. 2.3

MAINTENANCE MESSAGES

Message Key	Purpose	Location (Chapter)
MRS	Modify Record SID	Ch. 5 Sec. 5.1
EHN	Enter Supplemental Identifiers	Ch. 5 Sec. 5.2
XHN	Cancel Supplemental Identifiers	Ch. 5 Sec. 5.3
DRS	Delete Record SID	Ch. 5 Sec. 5.4
DEC	Decease Records Indexed in the III	Ch. 5 Sec. 5.5
CPI	Notify the FBI When a Subsequent Criminal Tenprint is Identified	Ch. 13 Sec. 13.2
DSP	Update State Records With Disposition Data	Ch. 5 Sec. 7

UNSOLICITED MESSAGES

Message Key	Purpose	Location (Chapter)
\$.A.CHR	Criminal History Request Notification	Ch. 2 Sec. 2.6
\$.A.NPR	No Prior Record-III Record Established	Ch. 4 Sec. 4.2.3
\$.A.RNP	SID Rejected-No Prior III Record	Ch. 4 Sec. 4.2.4
\$.A.PIR	Prior Record-SID Number Entered in III Record	Ch. 4 Sec. 4.2.5
\$.A.RPR	SID Rejected-Prior III Record	Ch. 4 Sec. 4.2.6
\$.A.SSO	Single-Source Offender Status	Ch. 4 Sec. 4.3.2
\$.A.MSO	Multi-Source Offender Status	Ch. 4 Sec. 4.3.3
\$.A.EXP	FBI UCN Expunged	Ch. 5 Sec. 5.4.5.1
\$.A.EXS	SID Number Expunged	Ch. 5 Sec. 5.4.5.2
\$.A.DEC	Deceased-SID Number Retired	Ch. 5 Sec. 5.5.3
\$.A.CON	FBI UCN Consolidation	Ch. 5 Sec. 5.6.2
\$.A.NMS	Nonmatching SID Ignored	Ch. 5 Sec. 5.6.3
\$.A.CFN	Applicant Fingerprint Submissions Not Identified	Ch. 6 Sec. 6.4
\$.A.CFR	Applicant Fingerprint Submissions Identified	Ch. 6 Sec. 6.5
\$.A.PES	Advise NFF State of Erroneous Single-Source Submission	Ch. 14 Sec. 14.2.1
\$.A.PEM	Advise NFF State of Erroneous Multi-Source Submission	Ch. 14 Sec. 14.2.1

ADMINISTRATIVE MESSAGES

Message Key	Purpose	Location (Appendix)
\$.U.	III File Out of Service	Appendix G
\$.V.	III File in Full Service	Appendix G
\$.W.	III File in Restricted Service	Appendix G
\$.X.	III File Continuing Restricted Service	Appendix G
\$.Y.	NCIC Line Reopened-NCIC Restricted Service/III Full Service	Appendix G
\$.Z.	NCIC Line Reopened-NCIC Full Service/III Restricted Service	Appendix G