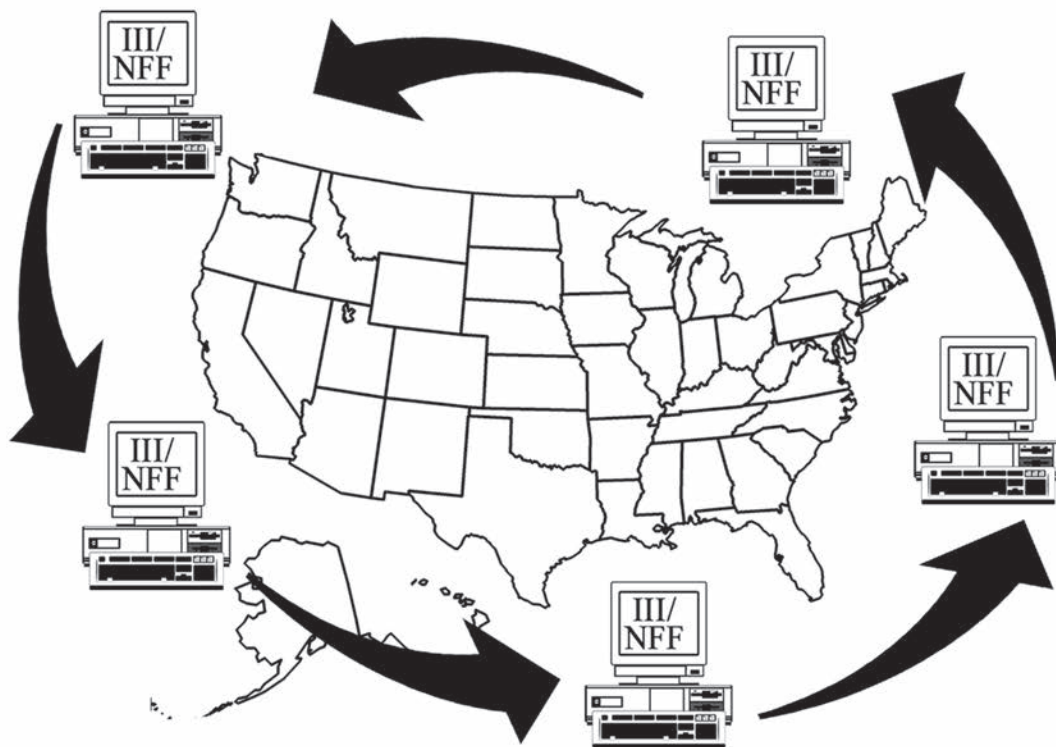




Interstate Identification Index/ National Fingerprint File Operational and Technical Manual



III/NFF MANUAL
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**INTERSTATE IDENTIFICATION INDEX (III)/NATIONAL FINGERPRINT
FILE (NFF) OPERATIONAL AND TECHNICAL MANUAL**

QUICK REFERENCE

INQUIRY MESSAGES

Message Key	Purpose	Location
QH	Query Index	Chap. 2 Sec. 3 Pages 6-24
QR	Query Record	Chap. 2 Sec. 4 Pages 25-41
QWI	Query Wanted Person	Chap. 2 Sec. 5 Pages 42-43
ZR	Record Maintenance	Chap. 2 Sec. 6 Pages 44-45
ZI	Record Maintenance	Chap. 2 Sec. 7 Pages 46-50
ZRS	Record Maintenance	Chap. 2 Sec. 8 Pages 51-53

TEST MESSAGE

Message Key	Purpose	Location
TI\$	Test Receipt of III Unsolicited Messages	Chap. 3 Sec. 3 Pages 6-10

MAINTENANCE MESSAGES

Message Key	Purpose	Location
MRS	Modify Record SID	Chap. 5 Sec. 1 Pages 1-3
EHN	Enter Supplemental Identifiers	Chap. 5 Sec. 2 Pages 4-6
XHN	Cancel Supplemental Identifiers	Chap. 5 Sec. 3 Pages 7-8
DRS	Delete Record SID	Chap. 5 Sec. 4 Pages 9-16
DEC	Decease Records Indexed in the III	Chap. 5 Sec. 5 Pages 17-20
CPI	Notify the FBI When a Subsequent Criminal Ten Print is Identified	Chap. 13 Sec. 2 Page 2

UNSOLICITED MESSAGES

Message Key	Purpose	Location
\$.A.CHR	Criminal History Request Notification	Chap. 3 Sec. 6 Pages 20-22
\$.A.NPR	No Prior Record-NCIC III Record Established	Chap. 4 Sec. 2.3 Pages 3-4
\$.A.RNP	SID Rejected-No Prior NCIC III Record	Chap. 4 Sec. 2.4 Page 4
\$.A.PIR	Prior Record-SID Number Entered in NCIC III Record	Chap. 4 Sec. 2.5 Page 5
\$.A.RPR	SID Rejected-Prior NCIC III Record	Chap. 4 Sec. 2.6 Page 6
\$.A.SSO	Single-Source Offender Status	Chap. 4 Sec. 3.2 Page 8
\$.A.MSO	Multi-Source Offender Status	Chap. 4 Sec. 3.3 Pages 8-9
\$.A.EXP	FBI Number Expunged	Chap. 5 Sec. 4.5.1 Pages 12-13
\$.A.EXS	SID Number Expunged	Chap. 5 Sec. 4.5.2 Page 13
\$.A.REA	Reactivation Message After 30 Days of DRS Receipt	Chap. 5 Sec. 4.7 Pages 15-16
\$.A.DEC	Deceased-SID Number Retired	Chap. 5 Sec. 5.3 Pages 19-20
\$.A.CON	FBI Number Consolidation	Chap. 5 Sec. 6.2 Pages 21-25
\$.A.NMS	SID Number Consolidation	Chap. 5 Sec. 6.3 Pages 25-28
\$.A.CFN	Applicant Fingerprint Submissions Not Identified	Chap. 6 Sec. 4 Pages 6-7
\$.A.CFR	Applicant Fingerprint Submissions Identified	Chap. 6 Sec. 5 Pages 8-10
\$.A.PES	Advise NFF State of Erroneous Single-Source Submission	Chap. 14 Sec. 2.1 Page 2
\$.A.PEM	Advise NFF State of Erroneous Multi-Source Submission	Chap. 14 Sec. 2.1 Page 2

ADMINISTRATIVE MESSAGES

Message Key	Purpose	Location
\$.U.	NCIC III File Out of Service	Appendix I Page 1
\$.V.	NCIC III File in Full Service	Appendix I Page 1
\$.W.	NCIC III File in Restricted Service	Appendix I Page 2
\$.X.	NCIC III File Continuing Restricted Service	Appendix I Page 2
\$.Y.	NCIC Line Reopened-NCIC Restricted Service/III Full Service	Appendix I Page 2
\$.Z.	NCIC Line Reopened-NCIC Full Service/III Restricted Service	Appendix I Page 2

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III/NFF MANUAL
CHAPTER 1—INTRODUCTION

SECTION 1—BACKGROUND

1.1 INTERSTATE IDENTIFICATION INDEX (III) PROGRAM

The III Program provides for the decentralized interstate exchange of criminal history record information (CHRI) and functions as part of the FBI's Criminal Justice Information Services (CJIS) Division's Integrated Automated Fingerprint Identification System (IAFIS.)¹ 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, 48 states participate in the III Program, which contains records for approximately 50 million persons.

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/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 criminal history 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. Each month, the III processes over 10 million name check inquiry transactions to determine whether a matching index record is on file. If a match is found, an agency may request the subject's record by transmitting an additional inquiry using a unique FBI or state identification (SID Number) assigned to the subject's record. Generally, records are provided to requesters within seconds of requests transmitted over the FBI's NCIC network to III. This rapid availability of information is invaluable to investigators, prosecutors, courts, and other III users.

Each criminal history record is supported by a criminal fingerprint submission. In the 52 sole-source participating states/territories, the arresting agency submits fingerprint

¹ The FBI's IAFIS consists of three integrated segments (Identification Tasking and Networking, Automated Fingerprint Identification System, and the III). The III segment of the IAFIS replaces the former Identification Automated System (IDAS), which replaced the FBI Automated Identification Division System (AIDS).

images to the State Identification Bureau (SIB) for processing and assignment of a SID Number. 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 and creates an index of the subject's descriptors.

When the FBI receives an online request for a record supported by a III participating state, the III automatically sends a message through the NCIC to the participating state's computer system. The state responds directly to the requesting agency over the International Justice and Public Safety Information Sharing Network (NLETS). The FBI's CJIS Division responds to requests for records for federal and foreign offenders; for persons arrested in non-III states, the District of Columbia, and U.S. Territories; and for criminal arrests that III states are unable to support. For fingerprint submissions, the CJIS Division provides records from states not participating in the NFF Program; records maintained by NFF Program participants are provided by the respective NFF states.

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. Arrest fingerprint images and related disposition and expungement documents for subsequent arrests are used by the state to update its own records; only those fingerprint images that a state is unable to identify will be forwarded 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.

1.3 NATIONAL CRIME PREVENTION AND PRIVACY COMPACT ACT (COMPACT)

Most states participating in the III have varying statutes or policies that restrict the dissemination of criminal history records for noncriminal justice purposes. Because of this, an agreement was needed between the 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. For this reason, the National Crime Prevention and Privacy Compact Act (Compact) was signed into law by President Clinton in October 1998. The Compact facilitates uniformity in the dissemination of CHRI 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.

1.4 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.

NOTE: Should 28 Code of Federal Regulations (CFR) be amended to permit the FBI to maintain all submitted offenses, this manual shall be revised accordingly.

SECTION 2—GENERAL INFORMATION

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 ten print submissions.
- H. Provide additional clarifying information and details.

2.2 COMPONENTS OF THIS MANUAL

This manual is divided into two components: the III and the NFF sections. 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 in the front of the manual 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 2000 Operating Manual* and the *NCIC 2000 Code Manual*. In addition to these resources, III users may also obtain assistance by contacting the FBI's CJIS Division at (304) 625-2000.

SECTION 3—FILE/TECHNICAL PROBLEMS

3.1 INTRODUCTION

Occasionally, technical or other types of problems may prevent the III from transmitting a standard or an immediate response to an inquiry (QH, QWI, ZI, ZR, or ZRS), a record request (QR), or a maintenance message (DEC, DRS, EHN, MRS, or XHN). *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."*

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 transmit immediately 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, the III will replace the FBI/(FBI Number) with a SID/(SID Number). For QH inquiry responses, the III will replace the FBI/(FBI Number) with a NAM/(name) and the other search fields from the inquiry.

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, the III will replace the FBI/(FBI Number) with a SID/(SID Number). For QH inquiry responses, the III will replace the FBI/(FBI Number) with a NAM/(name) and the other search fields from the inquiry.

3.4 RESPONSE WHEN THE III IS IN SERVICE BUT UNABLE TO ACCEPT MESSAGES FROM THE NCIC

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 they can be accepted by the III.

```
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, the III will replace the FBI/(FBI Number) with a SID/(SID Number). For QH inquiry responses, the III will replace the FBI/(FBI Number) with a NAM/(name) and the other search fields from the inquiry.

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 (Eastern Time) and the date 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 2002/12/07.
PLEASE MAKE ANOTHER REQUEST IF YOU HAVE NOT ALREADY DONE SO.
END
```

As appropriate, the III will replace the FBI/(FBI Number) with a SID/(SID Number). For QH inquiry responses, the III will replace the FBI/(FBI Number) with a NAM/(name) and the other search fields from the inquiry. For maintenance messages, the III will replace the FBI/(FBI Number) with the record identifiers (DOB or SID Number and FBI Number) and the MFC data included in the incoming maintenance message.

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III/NFF MANUAL
CHAPTER 2—INQUIRIES AND RECORD REQUESTS

SECTION 1—INTRODUCTION

1.1 QH, QR, AND QWI MESSAGES

The III provides two basic inquiry messages: the QH inquiry message and the QR 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 Number (FBI), and/or state identification number (SID). The QR record request message, referred to as a criminal history record request, must always include either the FBI or SID Number of the record's subject.

In addition to the QH and QR inquiry messages, the NCIC provides a QWI inquiry message that accesses the NCIC and the III simultaneously. The NCIC treats a QWI inquiry message as a QW, 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 inquiry message is provided in the *NCIC 2000 Operating Manual* (Wanted Person File—Inquiry Section).

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 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.

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

SECTION 2—PURPOSE CODES

2.1 INTRODUCTION

The Privacy Act of 1974 requires the FBI's CJIS Division to maintain an audit trail of the purpose of each disclosure of a criminal history record and the recipient of that record. Therefore, all III inquiry and record request messages must include the purpose for which the criminal history 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 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.

2.2 PURPOSE CODE A—ADMINISTRATIVE FILE MAINTENANCE

Purpose Code A must be used 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 CHRI, want, and sexual offender registry notifications that are in the III for that state.

2.3 PURPOSE CODE C—CRIMINAL JUSTICE

Purpose Code C must be used when a III message is for official duties in connection with the administration of criminal justice.

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 criminal record check is necessary to accomplish the agency's mission. However, these examples are not all encompassing.

1. 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 a criminal justice agency 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. Inmates' mailing lists.

2. 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).

2.4 PURPOSE CODE D—DOMESTIC VIOLENCE AND STALKING

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

Purpose Code D is issued by:

1. Civil or criminal courts involved in domestic violence or stalking cases (civil courts are issued D ORIs).
2. 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.)

2.5 PURPOSE CODE F—WEAPONS-RELATED BACKGROUND CHECKS

Purpose Code F must be used by criminal justice agencies for the purposes of (a) issuing firearms-related permits and explosives permits pursuant to state law, regulation, or local ordinance; (b) returning firearms to their lawful owners; and (c) enforcing federal and state laws prohibiting certain persons with criminal records from possessing firearms in circumstances in which firearms have been pawned.

2.6 PURPOSE CODE H—HOUSING

Purpose Code H must be used 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 may assign Public Housing Agencies ORIs containing the letter Q in the ninth position for use by authorized agencies.

2.7 PURPOSE CODE I—INTERSTATE-APPROVED NONCRIMINAL JUSTICE

Purpose Code I must be used 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. Purpose Code I may be used by only one authorized agency in each state. QH inquiry messages may be sent using this purpose code by including the FBI Number 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.

2.8 PURPOSE CODE J—CRIMINAL JUSTICE EMPLOYMENT

Purpose Code J must be used 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 is to be used for criminal justice employment. This code is used to initiate background checks of agency personnel as well as the following:

- 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.

2.9 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), Title 5, United States Code, Section 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 (DOD).
- U.S. Office of Personnel Management (OPM)
- Department of Transportation (DOT)
- Federal Bureau of Investigation (FBI)
- Central Intelligence Agency (CIA)
- Department of State (DOS)

Appropriate ORI numbers must be used when conducting III transactions using Purpose Code S. ORI numbers containing the alpha character R in the ninth position are assigned to (a) the DOD, which includes the Defense Security Service (formerly the Defense Intelligence Service) and the National Security Agency, (b) OPM, and (c) DOT. Other authorized ORI numbers include those with FBI, CIA, or DOS in positions 3, 4, and 5.

2.10 PURPOSE CODE V—VISA APPLICANTS

Purpose Code V must be used when the III message is made for the purpose of determining eligibility for a visa application. The use of Purpose Code V is limited to QH inquiry messages by the DOS, Consolidated Immigrant Processing Visa Center.

2.11 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. Purpose Code X must be used by 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. Following a QH inquiry message, QR record request messages may be used to review the individual's record. All requests for background checks for exigent purposes must be accompanied by fingerprints. When the 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. Purpose Code X must be pre-approved before it can be used. Contact the FBI's CJIS Division for further information.

SECTION 3—QH INQUIRY MESSAGE

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, SOC, and DOB), assigned SID Number, or assigned FBI Number. The QH inquiry is used to determine if an index to a person's criminal history record is 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 how many record responses to expect when the inquirer uses the QR message to request the specific criminal history record. 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 positive QH response provides the requester with the following 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 fingerprint cards on more than 50 million individuals. Also, more than 55 million records are indexed in the III, representing all persons with an FBI record who were born in 1956 or later; persons born prior to 1956 whose first arrest fingerprint card was submitted to the FBI on July 1, 1974, or later; numerous older records converted to the automated system in the CJIS Division Manual Conversion Project; and certain fugitives and repeat offenders. Therefore, if an agency receives a "no record" response, the agency should send a fingerprint submission to the FBI's CJIS Division for further searching. In addition, there may be records at the local or state level for which arrest fingerprint submissions are not on file with the FBI.

3.2 QH INQUIRY

The first three fields of the QH message sent by the requester must contain the following information *in the order shown*:

- 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 MFCs 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 Number or NAM and FBI Number

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

Each search field must be preceded by its message field code (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 Message:

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

Explanation:

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	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/ SID/	*If known, the FBI Number or SID Number may be used in lieu of the NAM.	

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. The following is an explanation of the matching criteria:

NAM—It is important that QH inquiry messages 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 in order 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 dashes 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 these 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 as follows:

<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 as follows:

<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 rejects a QH inquiry message that contains an incomplete date of birth (e.g., 19600000, 120060, 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 123456789, 999999999, or 000000000 will result in a reject message. The III does not search these numbers. The reason for the reject will be provided as follows: "UNSEARCHABLE IDENTIFIER SOC (or MNU)".

QH inquiry messages containing NAM and SOC, NAM and MNU, NAM and FBI Number, or NAM and SID will be searched on SOC, MNU, FBI Number, or SID only; however, the inclusion of NAM with either SOC or MNU is mandatory. The inclusion of NAM with FBI Number or SID Number is optional.

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 3L01 3L02	Multiple matching candidate response. The header in the response will vary based on the length of the response.
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.
IL01	Positive single candidate response for a firearms check when the subject's record has no disqualifying conviction and no pending court action.
JL01	Reject message.
LL01	A positive single candidate response to a QH inquiry message for a firearms check when (a) the subject's record has no disqualifying convictions or 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.

3.5 EXAMPLES—INTRODUCTION

A III positive response will include the following information for each candidate: master name; FBI Number; 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 IAFIS 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. It is important to remember that positive identification is not conclusive for the candidate(s) generated by a III name search via a QH inquiry.

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

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/TEST,T J.SEX/M.RAC/W.
DOB/19620825.PUR/C (EOT)

Response:

7L01HEADERXXXX01234
VAVSP0000
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/TEST,T J SEX/M RAC/W DOB/19620825 PUR/C
NAME FBI NO. INQUIRY DATE
TEST,THOMAS JOSEPH 9013000 2000/12/01

SEX RAC BIRTH DATE HEIGHT WEIGHT EYES HAIR BIRTH PLACE PHOTO
M W 1962/08/25 600 185 BLU BRO PENNSYLVANIA N

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

ALIAS NAMES
TEST,TOM

OTHER SCARS-MARKS-
BIRTH DATES TATTOOS SOCIAL SECURITY MISC NUMBERS
1962/11/25 TAT R ARM 563-43-5916 AS-563435916

MISC COMMENTS-PA SINGLE-SOURCE TEST RECORD

IDENTIFICATION DATA UPDATED 1990/11/07

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE
FOLLOWING:
PENNSYLVANIA - STATE ID/PA80003048

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.

3.5.2 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/SAMPLE,JOHN.SEX/M.RAC/W.
DOB/19571225.PUR/C(EOT)

Response:

3L01HEADERXXXX01234
VAVSP0000

THIS NCIC INTERSTATE IDENTIFICATION INDEX MULTIPLE RESPONSE IS THE
RESULT OF YOUR INQUIRY ON NAM/SAMPLE,JOHN SEX/M RAC/W DOB/19571225
PUR/C

NAME	FBI NO.	INQUIRY DATE
SAMPLE,JOHN PATRICK	9015174	1990/12/01

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1957/12/25	601	189	BLU	BRO	MICHIGAN	N

FINGERPRINT CLASS	PATTERN CLASS
PO PM 14 CO 09	RS LS WU WU LS RS WU WU RS WU
01 12 XX 17 62	LS WU WU WU LS RS RS WU WU WU

ALIAS NAMES
SAMPLE,PATRICK

OTHER	SCARS-MARKS-
BIRTH DATES	TATTOOS
1957/11/25	TAT R ARM
1957/10/25	TAT CHEST

SOCIAL SECURITY	MISC NUMBERS
563-43-5916	AS-563435916
463-34-8119	AS-88104

MISC COMMENTS-PERSON IS DIABETIC-THIS IS AN FBI TEST RECORD

IDENTIFICATION DATA UPDATED 1984/04/23

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

FLORIDA	- STATEID/FL00000123
FBI	- FBI/9015174

END - 1ST NCIC III RECORD FOR MULTIPLE RESPONSE

NAME	FBI NO.	INQUIRY DATE
SAMPLE,JAMES	9026285	1990/12/01

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1958/12/25	511	155	BRO	RED	GEORGIA	N

FINGERPRINT CLASS	PATTERN CLASS
AA TT 21 PM 22	RS LS WU WU LS RS WU WU RS WU
10 51 13 25 02	RS LS WU WU LS RS WU WU RS WU

MISC COMMENTS-THIS IS AN FBI TEST RECORD

IDENTIFICATION DATA UPDATED 1984/04/24

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

MICHIGAN - STATE ID/MI054321

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

A maximum of 15 records will be provided online for a multiple response. In instances where 16 or more records match the QH inquiry message, a caveat will be appended to the QH multiple record response that contains the FBI Number(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

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

The text highlighted 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/TEST,THOMAS JOSEPH.SEX/M.RAC/W.
DOB/19620825.PUR/D(EOT)

Response:

7L01HEADERXXXX01234

VAVSP0000

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/TEST, THOMAS JOSEPH SEX/M RAC/W DOB/19620825 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
TEST, THOMAS JOSEPH	9013000	1990/12/01

SEX	RAC	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1962/08/25	600	185	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
TEST, TOM

OTHER	SCARS-MARKS-		
BIRTH DATES	TATTOOS	SOCIAL SECURITY	MISC NUMBERS
1962/11/25	TAT R ARM	563-43-5916	AS-563435916

MISC COMMENTS-PA SINGLE-STATE TEST RECORD

IDENTIFICATION DATA UPDATED 1990/11/07

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

PENNSYLVANIA - STATE ID/PA80003048

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

END

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

The text highlighted 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/TEST,THOMAS JOSEPH.SEX/M.RAC/W.
DOB/19570825.PUR/H(EOT)

Response:

7L01HEADERXXXX01234

VAVSP0000

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/TEST,THOMAS JOSEPH SEX/M RAC/W DOB/19570825 PUR/H

*****NOTICE*****

THIS RESPONSE MAY BE USED ONLY FOR PURPOSES OF THE HOUSING OPPORTUNITY
PROGRAM EXTENSION 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
TEST,THOMAS JOSEPH	9013000	1990/12/01

SEX	RAC	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1957/08/25	600	185	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
TEST,TOM

OTHER	SCARS-MARKS-		
BIRTH DATES	TATTOOS	SOCIAL SECURITY	MISC NUMBERS
1962/11/25	TAT R ARM	563-43-5916	AS-563435916

MISC COMMENTS-PA SINGLE-STATE TEST RECORD

IDENTIFICATION DATA UPDATED 1990/11/07

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

PENNSYLVANIA	- STATE ID/PA80003048
NEW YORK	- STATE ID/NY0000378H - DECEASED

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

END

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/SAMPLE, JOHN.SEX/M.RAC/W.
DOB/19571225.PUR/F (EOT)

Response:

DL01HEADERXXXX01234
VAVSP0000

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/SAMPLE, JOHN SEX/M RAC/W DOB/19571225 PUR/F

NAME	FBI NO.	INQUIRY DATE
SAMPLE, JOHN PATRICK	9015174	1990/12/01

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1957/12/25	601	189	BLU	BRO	MICHIGAN	N

FINGERPRINT CLASS	PATTERN CLASS
PO PM 14 CO 09	RS LS WU WU LS RS WU WU RS WU
01 12 XX 17 62	RS LS WU WU LS RS WU WU RS WU

ALIAS NAMES
SAMPLE, PATRICK

OTHER	SCARS-MARKS-
BIRTH DATES	TATTOOS
1957/11/25	TAT R ARM
1957/10/25	TAT CHEST

SOCIAL SECURITY	MISC NUMBERS
666-22-6666	AS-563435916
777-11-7777	AS-88104

MISC COMMENTS-PERSON IS DIABETIC-THIS IS AN FBI TEST RECORD

IDENTIFICATION DATA UPDATED 1984/04/23

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

FLORIDA	- STATE ID/FL00000123	- DISQUALIFICATION FOR FIREARMS
FBI	- FBI/9015174	- COURT DISPOSITION PENDING
		CONVICTION STATUS UNKNOWN

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

END

3.5.6 EXAMPLE OF A QH INQUIRY FOR PURPOSE CODE F AND SINGLE CANDIDATE RESPONSE, SUBJECT'S RECORD HAS NO DISQUALIFYING CONVICTION AND NO PENDING COURT ACTION

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/SAMPLE, JOHN.SEX/M.RAC/W.
DOB/19571225.PUR/F (EOT)

Response:

IL01HEADERXXXX01234
VAVSP0000

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/SAMPLE, JOHN SEX/M RAC/W DOB/19571225 PUR/F

NAME	FBI NO.	INQUIRY DATE
SAMPLE, JOHN PATRICK	9015174	1990/12/01

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1957/12/25	601	189	BLU	BRO	MICHIGAN	N

FINGERPRINT CLASS	PATTERN CLASS
PO PM 14 CO 09	RS LS WU WU LS RS WU WU RS WU
01 12 XX 17 62	RS LS WU WU LS RS WU WU RS WU

ALIAS NAMES
SAMPLE, PATRICK

OTHER	SCARS-MARKS-
BIRTH DATES	TATTOOS
1957/11/25	TAT R ARM
1957/10/25	TAT CHEST

SOCIAL SECURITY	MISC NUMBERS
666-22-6666	AS-563435916
777-11-7777	AS-88104

MISC COMMENTS-PERSON IS DIABETIC-THIS IS AN FBI TEST RECORD

IDENTIFICATION DATA UPDATED 1984/04/23

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

FLORIDA - STATE ID/FL00000123 - NO DISQUALIFICATION FOR FIREARMS

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

END

3.5.7 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/TEST,T J.SEX/M.RAC/W.
DOB/19570825.PUR/F(EOT)

Response:

LL01HEADERXXXX01234
VAVSP0000

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/TEST,T J SEX/M RAC/W DOB/19570825 PUR/F

NAME	FBI NO.	INQUIRY DATE
TEST,THOMAS JOSEPH	9013000	1990/12/01

SEX	RAC	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1957/08/25	600	185	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
TEST,TOM

OTHER	SCARS-MARKS-		
BIRTH DATES	TATTOOS	SOCIAL SECURITY	MISC NUMBERS
1957/11/25	TAT R ARM	666-11-6666	AS-563435916

MISC COMMENTS-PA SINGLE-STATE TEST RECORD

IDENTIFICATION DATA UPDATED 1990/11/07

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

PENNSYLVANIA	- STATE ID/PA00000048 - NO DISQUALIFICATION FOR FIREARMS
NEW YORK	- STATE ID/NY00000005 - COURT DISPOSITION PENDING
	CONVICTION STATUS UNKNOWN

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

END

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

The text highlighted 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(EOT)
```

Response:

```
NL01HEADERXXXX01234  
VAVSP0000  
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III)  
FOR NAM/SAMPLE,MICHAEL.SEX/M.RAC/W.DOB/19641025.PUR/X.
```

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

3.5.9 EXAMPLE OF A QH INQUIRY FOR PURPOSE CODE X WHEN THE SUBJECT'S YEAR OF BIRTH IS PRIOR TO 1956

The text highlighted 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/19461025.PUR/X(EOT)
```

Response:

```
NL01HEADERXXXX01234  
VAVSP0000  
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III)  
FOR NAM/SAMPLE,MICHAEL.SEX/M.RAC/W.DOB/19461025.PUR/X.  
NOTICE -- A LARGE NUMBER OF RECORDS FOR PERSONS BORN PRIOR TO 1956 ARE  
NOT AUTOMATED AT THE FBI.
```

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

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

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

Inquiry:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/TEST,THOMAS JOSEPH.SEX/M.RAC/W.
DOB/19620825.PUR/X(EOT)

Response:

7L01HEADERXXXX01234
VAVSP0000
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/TEST,THOMAS JOSEPH SEX/M RAC/W DOB/19620825 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
TEST,THOMAS JOSEPH	9013000	1990/12/01

SEX	RAC	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1962/08/25	600	185	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
TEST,TOM

OTHER	SCARS-MARKS-		
BIRTH DATES	TATTOOS	SOCIAL SECURITY	MISC NUMBERS
1962/11/25	TAT R ARM	563-43-5916	AS-563435916

MISC COMMENTS-PA SINGLE-SOURCE TEST RECORD

IDENTIFICATION DATA UPDATED 1990/11/07

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

PENNSYLVANIA - STATE ID/PA80003048

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

END

3.5.11 EXAMPLE OF A QH INQUIRY AND NEGATIVE RESPONSE FOR SUBJECTS WITH A YEAR OF BIRTH PRIOR TO 1956 AND FIRST ARREST REPORTED SINCE JULY 1, 1974

The III no record response does not necessarily mean there is no criminal history record for an individual. More than 55 million records are indexed in the III. These records represent all persons with an FBI record who were born in 1956 or later; persons born prior to 1956 whose first arrest fingerprint card was submitted to the FBI on July 1, 1974, or later; numerous older records converted to the automated system in the CJIS Division Manual Conversion Project; and certain fugitives and repeat offenders. If the requesting agency receives a no record response, it may send a fingerprint submission to the FBI's CJIS Division. However, submitting agencies should note that there may be records at the local or state level for which arrest fingerprint submissions are not on file with the FBI's CJIS Division.

Inquiry:

```
2L01HEADERXXXX01234.QH.VAVSP0000.NAM/SAMPLE,MICHAEL.SEX/M.RAC/W.
DOB/19460125.PUR/C (EOT)
```

Response:

```
NL01HEADERXXXX01234
VAVSP0000
NO IDENTIFIABLE RECORD IN THE INTERSTATE IDENTIFICATION INDEX (III) FOR
NAM/SAMPLE,MICHAEL.SEX/M.RAC/W.DOB/19460125.PUR/C.
NOTICE -- A LARGE NUMBER OF RECORDS FOR PERSONS BORN PRIOR TO 1956
ARE NOT AUTOMATED AT THE FBI. IF A SEARCH OF THE NONAUTOMATED FILES
IS DESIRED, A FINGERPRINT CARD SHOULD BE SUBMITTED.
END
```

3.5.12 EXAMPLE OF A QH INQUIRY AND A NEGATIVE RESPONSE FOR SUBJECTS WITH A YEAR OF BIRTH EQUAL TO OR GREATER THAN 1956

Inquiry:

```
2L01HEADERXXXX01234.QH.VAVSP0000.NAM/SAMPLE,MICHAEL.SEX/M.RAC/W.
DOB/19761025.PUR/C (EOT)
```

Response:

```
NL01HEADERXXXX01234
VAVSP0000
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III)
FOR NAM/SAMPLE,MICHAEL.SEX/M.RAC/W.DOB/19761025.PUR/C.
END
```

3.5.13 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 the inquiry is made using an FBI Number or a NAM and FBI Number.

NOTE: A III record can be deleted either permanently (e.g., when a record was established in error or if the subject has reached 99 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(EOT)
```

Response:

```
2L01HEADERXXXX01234
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/9026285 19901201
END
```

(or)

```
RECORD NO LONGER ON FILE - DELETED 19901201
END
```

(or)

```
RECORD NO LONGER ON FILE - EXPUNGED 19901201
END
```

(or)

```
RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT SUMTER SC 19901201
END
```

3.6 ADDITIONAL INFORMATION—INTRODUCTION

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

3.6.1 FINGERPRINT CLASSIFICATION

In each of the positive responses to a QH inquiry message, the III will return one or two types of categories of fingerprint classifications, FINGERPRINT CLASS or PATTERN CLASS, depending when the record was established at the FBI's CJIS Division. However, for records established after July 28, 1999, the QH inquiry response will contain only the PATTERN CLASS category.

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 manual titled *Electronic Fingerprint Transmission Specification* [EFTS].)

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 record.

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.

3.6.4 SOCIAL SECURITY NUMBER CAVEAT

When a QH inquiry message includes a SOC that contains an 8 or 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 SOC entry has been rejected.

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 4—QR RECORD REQUEST MESSAGE

4.1 INTRODUCTION

The method of requesting criminal history 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 Number or SID Number), a request of the subject's CHRI using the FBI Number or SID Number must be executed via a QR record request message. A positive QR response will provide the complete criminal history record (also known as a rap sheet) of the subject based on the FBI Number 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 CHRI to the requester and can be used as a table of contents to ensure that all CHRI is received. Following this initial response, each of the states/agencies that maintain a portion of the subject's record responds with the CHRI contained in its criminal history database. The FBI will provide the CHRI 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 is working jointly with III and NFF participating states to implement an Extensible Markup Language (XML) format to send and receive III QR record responses. As a result, the FBI and III participating states will 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) 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 both the current state response format and NPF. The SPF is a state-specific format and, therefore, is not shown in the examples.

NOTE: All available fields are displayed in the examples of record responses shown in the NPF; however, actual record responses in this format will include only those fields which are populated.

4.2 QR RECORD REQUEST

To obtain a specific criminal history via the III, a requester must use a criminal history record request (QR) message containing either the subject's FBI Number or SID Number. The FBI Number 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*:

- 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 Number** or **SID Number**.
- E. **Purpose code**.
- F. **Attention field** indicating to whose attention the response should be forwarded.

The FBI Number 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 Number or SID Number is optional; however, when included, the name is not searched.

The mailing address (which includes the department or agency name [DPT], street address or post office box [ADR], city and state [CIS], and the zip code [ZIP]) is optional. However, if the mailing address is used, all four fields must be filled. The building name (BLD) is optional and is not required when the other mailing address fields are used. (Appendix A of this manual furnishes information about Field Edit Specifications.)

Purpose Codes H and V are 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 MFC is used, the III will transmit a reject message.

Example Message:

```
2L01HEADERXXXX01234.QR.MDBPD0000.FBI/9015174.PUR/C.ATN/DET JOHN  
PUBLIC (EOT)
```

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--

QR.	Message Key	--
MDBPD0000.	Designated State Agency Identifier	--
FBI/9015174. SID/	FBI Number or SID Number of known subject	FBI/
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 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 Numbers of these records.) These records should be used for testing and training instead of live 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.

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.

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 Number 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.

4.4.1 POSITIVE RESPONSE CONTAINING AN FBI IDENTIFICATION RECORD

The following response will be transmitted 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 to the requester 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.

4.4.2 FBI IDENTIFICATION RECORD RESPONSE

The following is an example of an online record response from the FBI's CJIS Division:

CR.WVFBINF00
04:23 03/30/2004 00051
04:23 03/30/2004 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
***** CRIMINAL HISTORY RECORD *****

Data As Of 2004-03-30

***** 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; 2004-03-30)
All arrest entries contained in this FBI record are based on fingerprint comparisons and pertain to the same individual.(US; 2004-03-30)
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; 2004-03-30)

***** 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 (19970714)	Brown (19970714)	17081117113TT091611
		LS LS WU RS WU RS WU RS

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 (DCFBIIIIIZ)

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 01/05/1998
NOTIFY OHFBICV00 FBI CLEVELAND OHIO(FBI;1998-01-05)

***** CRIMINAL HISTORY *****

===== Cycle 001 =====

Tracking Number 000000003

Earliest Event Date 1997-07-11

Arrest Date 1997-07-11

Arrest Case Number A00000000

Arresting Agency DCFBIIIIIZ

Subject's Name KILLER, COPY CAT

Offender Id Number

Arrest Type ADULT

Charge

Charge Number 1

Charge Sequence 1

Charge Tracking Number 000000001

Charge Case Number

Agency DCFBIIIIIZ

Offense Date 1997-07-11

Charge Description BANK ROBBERY

Statute 3331

NCIC Offense Code

State Offense Code 02212

Counts 1

Severity Unknown

Inchoate Charge

Enhancing Factor

Reducing Factor

Disposition Unknown

Comment

===== Cycle 002 =====

Tracking Number 000000005

Earliest Event Date 2001-12-06

Arrest Date 2001-12-06

Arrest Case Number

Arresting Agency KYKSP0000

Subject's Name KILLER, CC (AKA)

Offender Id Number
 Arrest Type ADULT
 Charge
 Charge Number 2
 Charge Sequence 2
 Charge Tracking Number 000000004
 Charge Case Number
 Agency KYKSP0000
 Offense Date 2001-12-06
 Charge Description COUNTERFEITING IMMIGRATION DOCUMENTS
 Statute
 NCIC Offense Code
 State Offense Code 44444
 Counts
 Severity Unknown
 Inchoate Charge
 Enhancing Factor
 Reducing Factor
 Disposition
 Comment

 Court Disposition (Cycle 002)
 Court Case Number
 Court Agency NOT KNOWN
 Subject's Name
 Charge
 Charge Number
 Charge Sequence 2
 Charge Tracking Number
 Charge Case Number
 Agency
 Offense Date 2001-12-06
 Charge Description COUNTERFEITING IMMIGRATION DOCUMENTS
 Statute
 NCIC Offense code
 State Offense Code
 Counts 1
 Severity UNKNOWN
 Inchoate charge
 Enhancing Factor
 Reducing Factor
 Disposition Guilty
 Comment

 Sentencing (Cycle 002)
 Sentencing Agency NOT KNOWN
 Court Case Number
 Charge Number
 Charge Tracking Number 1B09876
 Charge Sequence
 Sentence 18 MTHS IMPR, FINE: \$500.00

 Corrections (Cycle 002)
 Corrections Agency KY0000000

Subject's Name
Correctional ID Number
Court Case Number
Correction Action SUPERVISED RELEASE

***** INDEX OF AGENCIES *****

Agency FBI Clarksburg; WVFBINF00;
Mailing Address 1000 CUSTER HOLLOW RD
CLARKSBURG, WV 26306

Agency Kentucky State Police; KYKSP0000
Mailing Address 664 Obine Avenue
Lexington, KY 34501

* * * END OF RECORD * * *

When the QR record request message contains Purpose Code I, J, or S, the following highlighted 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'S 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 request message contains Purpose Code D, the following highlighted, 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 highlighted, 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 highlighted, 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 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.)

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
```

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
```

4.4.5 EXAMPLE OF A STATE RECORD

Provided below is a sample QR record request message, a III initial response, and record responses shown in the current state format and the NLETS Presentation Format.

Inquiry:

```
2L01HEADERXXXX01234.QR.TXDPD0000.FBI/9015174.PUR/C.ATN/DET JAMES
PUBLIC (EOT)
```

```
EL01HEADERXXXX01234
TXDPD0000
THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
RECORD REQUEST FOR FBI/9015174.  THE FOLLOWING WILL RESPOND TO YOUR
AGENCY:
  VIRGINIA            - STATE SID/VA00000009
END
```

Responses:

(Current State Format)

CR.VAIII0000
11:52 06/26/86 01056
11:52 06/26/86 00197 TXDPD0000
*1234567890
TXT
HDR/2L01HEADER
ATN/DET JAMES PUBLIC
THIS RECORD IS BASED ONLY ON THE FBI NUMBER IN YOUR REQUEST-FBI/9015174.
BECAUSE ADDITIONS OR DELETIONS MAY BE MADE AT ANY TIME, A NEW COPY
SHOULD BE REQUESTED WHEN NEEDED FOR SUBSEQUENT USE.

- VIRGINIA CRIMINAL HISTORY -

WHEN EXPLANATION OF A CHARGE OR DISPOSITION IS NEEDED, COMMUNICATE
DIRECTLY WITH THE AGENCY THAT CONTRIBUTED THE FINGERPRINTS.

NAME	STATE ID NO.	FBI NO.	DATE REQUESTED
SAMPLE, JOHN PATRICK	VA00000009	9015174	1998/06/23

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE
M	W	1956/12/25	601	189	BLU	BRO	MICHIGAN

ARREST-1 1982/10/18
AGENCY-WILLIAMSBURG PD VA (VAWL0000)
AGENCY CASE-29831 NAME USED-SAMPLE, JOHN
CHARGE 1-BURGLARY - 2 COUNTS

COURT-8TH DISTRICT COURT TOWSON VA (VA003025J)
1983/01/18 COURT NO.-CR98554 DISPOSITION-CONVICTED
FELONY-BURGLARY
SENTENCE-1Y-3Y CONFINEMENT
FOUND GUILTY

SUPPLEMENTAL COURT DATA-
COURT - 8TH DISTRICT COURT TOWSON VA (VA003025J)
1985/07/29 DISPOSITION-CONVICTED
FELONY-BURGLARY
SENTENCE-1Y-3Y CONFINEMENT
SUBJECT RETRIED BASED ON APPELATE COURT DECISION

SUPERVISORY OR CUSTODY-
AGENCY-DIV OF CORR RECEPT CTR WILLIAMSBURG VA (VA004025C)
AGENCY CASE-BC10151
1985/07/30 STATUS-RECEIVED

THIS IS A SINGLE-STATE RECORD. NO ADDITIONAL CRIMINAL HISTORY
INFORMATION IS INDEXED AT NCIC FOR OTHER STATE OR FEDERAL OFFENSES.

THE USE OF THIS RECORD IS CONTROLLED BY STATE AND FEDERAL REGULATIONS.
IT IS PROVIDED FOR OFFICIAL USE ONLY AND MAY BE USED ONLY FOR THE
PURPOSE REQUESTED.
END OF RECORD

(NLETS Presentation Format)

CR.VAVSP0000
04:23 03/30/2004 00051
04:23 03/30/2004 00049 TXDPD0000
*1234567890
TXT
HDR/2L01HEADER
ATN/DET JAMES PUBLIC
***** CRIMINAL HISTORY RECORD *****

Data As Of 2004-04-23

***** INTRODUCTION *****

This rap sheet was produced in response to the following request:

FBI Number 9015174
State Id Number VA00000009
Social Security Number
Date of Birth
Driver's License Number
Miscellaneous Number
Request Id
Purpose Code C
Attention DET JAMES PUBLIC

The information in this rap sheet is subject to the following caveats:

NOTE 1: WHERE DISPOSITION DATA IS NOT SHOWN OR FURTHER EXPLANATION OF
CHARGE OR DISPOSITION IS DESIRED, CONTACT THE CONTRIBUTING AGENCY. (VA)
NOTE 2: THIS RECORD DOES NOT NECESSARILY CONTAIN ALL ARREST DATA, BUT
ONLY THAT WHICH HAS BEEN REPORTED TO THE VIRGINIA STATE POLICE AND
WHICH IS AVAILABLE FOR DISSEMINATION UNDER STATE AND FEDERAL LAW. (VA)

***** IDENTIFICATION *****

Subject Name(s)

SAMPLE, JOHN PATRICK

Subject Description

FBI Number State Id Number DOC Number
9015174 VA00000009

Social Security Number Driver's License Number

Miscellaneous Numbers

Sex	Race	Skin Tone
Male	White	Light
Height	Weight	Date of Birth
6'01"	189 Pounds	1956-12-25
Hair Color	Eye Color	Fingerprint Pattern
Brown	Blue	

Scars, Marks, and Tattoos

Blood Type	Medical Condition	
Place of Birth	Citizenship	Ethnicity
MI		
Marital Status	Religion	

Employment

Residence	
Residence as of	2001-12-06
Mailing Address	104 ANYTIME ST, ANYPLACE, VA, US

Fingerprint Images

Palmprint Images

Photo Images

DNA Data

Caution Information

Comment(s)

***** CRIMINAL HISTORY *****

===== Cycle 001 =====

Tracking Number

Earliest Event Date 1982-10-18

Arrest Date 1982-10-18

Arrest Case Number 29831

Arresting Agency VAWLG0000

Subject's Name SAMPLE, JOHN PATRICK

Offender Id Number

Arrest Type ADULT

Charge

Charge Number 1

Charge Sequence

Charge Tracking Number 000000001

Charge Case Number

Agency VAWLG0000
 Offense Date 1982-10-18
 Charge Description BURGLARY
 Statute
 NCIC Offense Code
 State Offense Code
 Counts 2
 Severity Unknown
 Inchoate Charge
 Enhancing Factor
 Reducing Factor
 Disposition
 Comment

Court Disposition (Cycle 001)
 Court Case Number CR-98554
 Court Agency VA003025J
 Subject's Name SAMPLE, JOHN PATRICK
 Charge
 Charge Number 1
 Charge Sequence
 Charge Tracking Number
 Charge Case Number CR-98554
 Agency VAWLG0000
 Offense Date 1982-10-18
 Charge Description BURGLARY
 Statute
 NCIC Offense code
 State Offense Code
 Counts 1
 Severity
 Inchoate charge
 Enhancing Factor
 Reducing Factor
 Disposition CONVICTED
 Comment SUBJECT RETRIED BASED ON APPELLATE COURT
 DECISION

Sentencing (Cycle 001)
 Sentencing Agency VA003025J
 Court Case Number CR-98554
 Charge Number 1
 Charge Tracking Number
 Charge Sequence
 Sentence 1Y-3Y CONFINEMENT

Corrections (Cycle 001)
 Corrections Agency VA004025C
 Subject's Name SAMPLE, JOHN
 Correctional Id Number BC10151
 Court Case Number CR-98554
 Correction Action 1Y-3Y CONFINEMENT

Agency WILLIAMSBURG PD, VA; VAWLG0000;
Mailing Address 8888 MAIN STREET
WILLIAMSBURG, VA 34406

* * * END OF RECORD * * *

4.4.6 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
MDBPD0000
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
```

4.4.7 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. This type of response will be provided only when the record request is made using an FBI Number or a NAM and an FBI Number.

```
2L01HEADERXXXX01234.QR.VAVSP0000.FBI/9015174.PUR/C.ATN/DET J Q
PUBLIC (EOT)
```

```
2L01HEADERXXXX01234
VAVSP0000
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
RECORD REQUEST FOR FBI/9015174 PUR/C ATN/DET J Q PUBLIC
```

```
RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/9000001 19901201
END
```

(or)

```
RECORD NO LONGER ON FILE - DELETED 19901201
END
```

(or)

RECORD NO LONGER ON FILE - EXPUNGED 19901201
END

(or)

RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT SUMTER SC 19901201
END

NOTE: III records can be deleted permanently (e.g., when a record was established in error or when the subject has reached 99 years of age) or temporarily (e.g., if internal corrections are needed and the record must be reentered).

4.4.8 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 would result 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

SECTION 5—QWI INQUIRY MESSAGE

5.1 INTRODUCTION

The NCIC QWI inquiry message provides the authorized user with the capability to access both the III and the NCIC simultaneously with one inquiry. The QWI inquiry message is initiated via the NCIC and performs a check of all NCIC person files (except the Unidentified Person File) (QW message) and simultaneously conducts a III name check (QH inquiry message). The NCIC and the III will return positive and/or negative responses independently. The III treats the QWI inquiry message in the same manner as a QH inquiry message. When an agency receives a QWI positive response from the NCIC, it should refer to procedures for handling Wanted Person hits as described in the chapter titled “Wanted Person File” in *the NCIC 2000 Operating Manual*.

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.FBI/9015174.
MNU/AF-123456789.SOC/123456789.SEX/M.RAC/W.DOB/19620621.IND/N.RSH/N.
ENS/N
```

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
```

III Response:

```
7L01HEADER
NY1510300
```

```
THIS NCIC 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	2000/01/01

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 1998/11/07

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

SECTION 6—ZR INQUIRY MESSAGE

6.1 INTRODUCTION

Requesters may use a ZR inquiry message to determine if a record corresponding to a particular FBI 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.

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 MFC is used, the III will transmit a reject message.

```
2L01HEADERXXXX01234.ZR.VAVSP0000.FBI/9015174.PUR/A(EOT)
```

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

* The SID Number may be used in lieu of the FBI Number. 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 appropriate Purpose Code C or J must be used.

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/(number).

6.4 EXAMPLE OF A 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, SID/(number) will replace FBI/(number).

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. This type of response will be provided only when the inquiry is made using an FBI Number.

Inquiry:

```
2L01HEADERXXXX1234.ZR.VAVSP0000.FBI/9015174.PUR/C(EOT)
```

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 19901201
END
```

(or)

```
RECORD NO LONGER ON FILE - DELETED 19901201
END
```

(or)

```
RECORD NO LONGER ON FILE - EXPUNGED 19901201
END
```

(or)

```
RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT SUMTER SC 19901201
END
```


SECTION 7—ZI INQUIRY MESSAGE

7.1 INTRODUCTION

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

- A. 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.
- B. Whether the III record is single-source or multi-source.¹
- C. Whether the III record contains a Wanted Person or a Sexual Offender pointer.
- D. The Identification For Firearms Sales (IFS) flag and the Record Sealing (SEL) flag.
- E. The date the record was established in the III.
- F. The date the record was last updated.
- G. Other identifying data such as scars, marks, and tattoos (SMT); date of birth (DOB); social security number (SOC); miscellaneous numbers (MNU); and alias (AKA).

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 MFC is used, the III will transmit a reject message.

Example Message:

```
2L01HEADERXXXX01234.ZI.NCDCI0000.FBI/9006600.PUR/A(EOT)
```

<u>Message Segment</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXXX01234.	Header	--
ZI.	Message Key	--

¹The terms single-state/multi-state used in the III online message responses has been replaced with single-source/multi-source. The FBI's CJIS Division uses the term "single-source" to indicate that a record has one source, or state, contributing to the subject's CHRI (e.g., a record having one state or one federal CHRI, or a wanted person notice and/or a sexual offender registry notice). "Multi-source" records have more than one source, or state, contributing to the subject's CHRI (e.g., a record having more than one state's CHRI, one state and one federal CHRI, or one state's CHRI and a wanted person notice and/or sexual offender registry notice).

NCDCI0000.	Designated State Agency Identifier	--
* FBI/9006600.	FBI Number	FBI/
** PUR/A	Purpose Code	PUR/
<p>* The SID Number may be used in lieu of the FBI Number. When a SID Number is used, 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.</p> <p>** Only Purpose Code A is allowed for ZI inquiry messages.</p>		

7.3 EXAMPLE OF A 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 2000/01/20
ROVER,ROVING R M B MI DOB/19571201 HGT/507 WGT/140 EYE/BLK HAI/BLK
SMT/SC R ARM SOC/045508551 FPC/CODIDMAA151211171913
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/19901217 DRE/19891028
III FLAGS/C0
OHA000004(19891028) NC0999960A(19891031) MI0000495X(19891121)
MT00000005(19901217) (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 Number is the date of the inquiry.
- B. The FPC/ Field of the Identification Segment III Record will be blank for records created after July 28, 1999.

- C. Only fields containing information will be provided.
- D. The date of the last update (“DLU”) will change whenever a change is made to 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 or Sexual Offender 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 Sexual Offender pointer.

- H. “POINTERS” list the SID Number(s) and/or FBI pseudo-pointer(s) in a record and, when applicable, a Wanted Person (WP) or Sexual Offender (SX) pointer. If a subject’s record contains both a Wanted Person and a Sexual Offender notice, only the Sexual Offender (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.

A Sexual Offender 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 Sexual Offender record in the III record, the SX pointer will represent only the first Sexual Offender record to be disseminated by the FBI.

- 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 . . ." 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."

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  
NCDCI0000  
FBI/9026285 NOT ON FILE
```

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

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

A response header with 2L01 as its first four characters will be returned in response to an inquiry by an agency using an FBI Number 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 19901201
END

(or)

RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT SUMTER SC 19901201
END

(or)

RECORD NO LONGER ON FILE - DELETED 19901201
END

(or)

RECORD NO LONGER ON FILE - EXPUNGED 19901201
END

SECTION 8—ZRS INQUIRY MESSAGE

8.1 INTRODUCTION

A ZRS inquiry is used to determine whether the record corresponding to a specific SID Number or FBI Number 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.

8.2 ZRS INQUIRY

The only fields requiring an MFC are the SID Number or FBI Number 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 MFC is used, the III will transmit a reject message.

Example Message:

```
2L01HEADERXXXX01234.ZRS.MD1012600.SID/MD81331911.PUR/A(EOT)
```

<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/

*An FBI Number may be used in lieu of a SID Number. When used, the FBI Number 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, the appropriate Purpose Code C or J must be used.

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 MULTISTATE)
```

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.)

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
VAVSP0000
SID/VA81331911 NOT ON FILE
```

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, a 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
```

8.6 ZRS INQUIRY MESSAGE RESPONSES USING AN FBI NUMBER

The following is an example of a response when an FBI Number 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 MULTISTATE)
```

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 Number 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 that 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 Number is not on file:

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

The following is an example of a response when the FBI Number 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 19860121
END
```

(or)

```
RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT SUMTER SC 19860121
END
```

(or)

```
RECORD NO LONGER ON FILE - DELETED 19860121
END
```

(or)

```
RECORD NO LONGER ON FILE - EXPUNGED 19860121
END
```


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III/NFF MANUAL
CHAPTER 3—PARTICIPATION REQUIREMENTS

SECTION 1—INTRODUCTION

1.1 GENERAL INFORMATION

States desiring to participate in the III must meet specified standards prior to participation. These standards are covered in Section 2 of this chapter and include requirements for ten print 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 NLETS upon receipt of a III criminal history record request message (\$.A.CHR). Section 6 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.

1.2 TESTING CAPABILITIES

The IAFIS Non-Operational Environment (NOE) is available to III/NFF participating and non-participating states for III/NFF testing purposes. The NOE supports the TI\$ testing protocol, which allows states to test the receipt of \$.A. unsolicited messages. States must accept and process the various unsolicited messages transmitted as the III database is updated. Section 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 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 NFF participating states. 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 must be generated by all NFF states.

Of the 13 unsolicited messages, states must be able to process 5 basic messages automatically. The 5 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.

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 record request message is received from a state database for a record containing its 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 2 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 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 2 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.

1.4 PREREQUISITES FOR III PARTICIPATION

Prior to becoming a participant, a state should already be placing its SID Number on fingerprint submissions sent 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 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) cut-off date wherein the state will begin to receive unsolicited messages for arrests that occur on or subsequent to that date. Some states use as their DOA cut-off date January 1 of the year in which they become a participant, others use the date they became a sole-source contributor, and some states do not use a date. Agencies that do not establish a cut-off 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 of this manual.)
- G. The medium and specifications for III synchronizations. (Chapter 4 and Appendix F of this manual furnish more information on this topic.)
- H. The purpose codes the state can support based on state law. (Chapter 2 provides details concerning purpose codes.)
- I. The III operational and technical primary contacts for its state.
- J. Whether the state wants the CFN and/or CFR (applicant submissions) 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 unsolicited messages if the state has more than one NCIC telecommunications line.

SECTION 2—MINIMUM REQUIREMENTS

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

2.1 TEN PRINT IDENTIFICATION MATTERS

- A. The state must have a central repository for CHRI with ten print identification capability, i.e., the ability to match ten print impressions. Although full technical fingerprint search capability is desirable, it is not a requirement.
- 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 criminal history record.
- 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 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.

NOTE: Should 28 CFR be amended to permit the FBI to maintain all submitted offenses, this manual shall be revised accordingly.

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.

2.4 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 3—TESTING

3.1 INTRODUCTION

The IAFIS NOE is available to III/NFF participating and nonparticipating states for III/NFF testing purposes. The NOE supports the TI\$ 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 Criminal Print Ident (CPI) message that must be generated by all NFF states.

States interested in testing the receipt of \$.A. unsolicited messages via the TI\$ message must follow the guidelines provided in Subsections 3.2, 3.3, and 3.4 of this chapter. States interested in using the NOE for non-TI\$ test purposes must first contact the FBI's CJIS Division at: (304) 625-2000. A III staff member will coordinate testing arrangements with the CJIS 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.

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 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 Numbers 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 Number and type of \$.A. unsolicited message to be received are the only fields that must be preceded by a MFC. Two hyphens (--) in the MFC column indicate mandatory positional fields not requiring a MFC.

Message:

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

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

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

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

The 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 "Non-ident" Message	6
CFR	Applicant Fingerprint "Ident" Message	6
CHR	Criminal History Record Request	3
CON	III Record Consolidation	5
DEC	Deceased - SID Retired	5
EXP	FBI Number Expunged	5
EXS	SID Expunged	5
MSO	Multi-Source Offender	4
NMS	Nonmatching SID Ignored	5

NPR	No Prior Record - III Record Established	4
PEM	Previously Established Multi-Source Record	14
PES	Previously Established Single-Source Record	14
PIR	Prior Record - SID Entered in III Record	4
REA	Record Reactivated	5
RNP	SID Rejected - No Prior III Record	4
RPR	SID Rejected - Prior III Record	4
SSO	Single-Source Offender	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 Number in the TI\$ message.

NOTES:

1. The 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 Numbers. The first SID and FBI Numbers in the message will be those contained in the test record identified by the TI\$ message. The second SID and FBI Numbers 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). In order to test the receipt and processing of this field, a state must transmit a TI\$ message containing the FBI Number 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 G 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. PES and PEM unsolicited messages are used by NFF states only. 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.

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:

```
$.A.CHR.HDR/2L01123456JLJ000000.NCF/123456JLJ.TME/1609.TMZ/EDT.DTE/
19970418.ORI/DCFBIWA10.SID/AL0000001.FBI/9666000.NAM/RECORD, TEST
AL.PUR/C.TOS/BASED ON FBI NUMBER ONLY.ORT/NCIC INVEST & OPER ASSIST
UNIT/CJIS.DPT/III STAFF.ATN/TI$ 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, S, and X. The following format must be used:

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

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

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.

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. A maximum of seven different types of rejects could be generated for any one TI\$ request.

Inquiry:

2L01HEADERXXXX01234.TI\$.FL0370100.FBI/9003000.TYP/FPS (EOT)

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 Number - FIELD ERROR FBI.
2. FBI Number 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 Number 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 4—PARTICIPATION OPTIONS

4.1 INTRODUCTION

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

4.2 PARTICIPATION START DATE

The FBI's CJIS Division implements programming changes on Sundays, which govern state III participation and access. To ensure states are able to begin transmitting and receiving III messages on their requested III participation start date, it is necessary for states to request a start date that also occurs on a Sunday.

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 CHRI for the record subject, the pointer will be the active state SID Number in the III. If the FBI's CJIS Division is responsible for disseminating CHRI on the record subject for a state 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 CHRI 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 Number 9777700
  III POINTERS
SID US**070476
SID AL00000002
SID MA**070476
```

4.4 DATE OF ARREST CUT-OFF

Prior to a state becoming a III participant, the FBI's CJIS Division indexes CHRI 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 cut-off date based on that decision. Three approaches for establishing arrest cut-off dates are described in the following paragraphs.

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 cut-off date) established in the III from that state after its III participation start date. The FBI's CJIS Division recommends that the states establish an arrest cut-off date occurring prior to their III participation start dates to ensure that receipt of unsolicited messages begins on the participation start date, and no delay occurs due to CJIS Division 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 CHRI 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 5 of this chapter provides more information on this topic.

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 subsequent to its III participation start date, the state will assume responsibility for all of its records that were established subsequent to it becoming a sole-source contributor. The state may choose to set its date of arrest cut-off 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 5 of this chapter.)

4.4.3 APPROACH 3: STATE CONTROL OF RECORDS ESTABLISHED IN THE III PRIOR TO WHEN THE STATE BECAME A SOLE-SOURCE CONTRIBUTOR

By choosing this approach, a state assumes dissemination responsibility for all its records established in the III prior to the date it became a sole-source contributor. The state proceeds in the same manner described in Subsection 4.4.2 (Approach 2).

4.5 ADMINISTRATIVE ACCESS ORI

Each state participating in the III must designate an authorized ORI for Purpose Code I and one 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. Additionally, maintenance messages from the state are to be forwarded using the Purpose Code A ORI.

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."

4.7 RECORD RESPONSES

Prior to III participation, state identification bureaus (SIBs) receive 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, SIBs also receive an unsolicited message containing the search results. Should an SIB want to elect to receive only the unsolicited message, the SIB should advise the FBI's III staff prior to becoming a III participant.

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). (Details concerning purpose codes are provided in Chapter 2 of this manual.) If the state is a signatory, that is, if it signed the Compact, it must also provide its records for all purpose codes. There are additional purposes for which access to CHRI is authorized under federal law that may be prohibited by a particular state law.

SECTION 5—RECORD INDEXING

5.1 INTRODUCTION

States choosing to assume dissemination responsibility for records established in the III prior to 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.

5.2 CCH CORRELATION

Upon request, the FBI's CJIS Division will provide a CCH Correlation medium to the states choosing options other than the day-one approach. Any state (whether or not it is a III participant) may request a CCH Correlation at any time by contacting the FBI's CJIS Division at (304) 625-2000. Layouts of the CCH Correlation record format are provided in Appendix F of this manual.

The record segments provided in the CCH Correlation format are as follows:

- Identification Segment (EH)
- Arrest Segment (ER2)
- Judicial Segment (ER3)
- Custody-Supervision Segment (ER4)

The mediums from which the state may choose are explained in Chapter 4, Section 4.2 of this manual. The definitions of the data fields are found in the *NCIC 2000 Code Manual*, which may be obtained from the state CJIS Systems Officer.

5.3 RECORD MATCHING

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. When both the FBI Number and SID Number provided on the CCH Correlation medium matches, the state may consider the records to be the same. If only one of the numbers match, a comparison must be made using the name and the date of birth (or other identifiers) of the subject before considering the records to be the same.

When the FBI's CJIS Division processes a criminal fingerprint submission and it contains a SID Number, the SID Number associated with the specific arrest cycle is entered into the III for that arrest submission. The state agency must resolve situations in which the SID Number was not recorded or not entered correctly on the criminal fingerprint submission, or multiple SID Numbers are on file for an individual's record, which may indicate a possible consolidation.

5.4 RECORD MATCHING DISCREPANCIES

The following subsections provide information related to processing a CCH Correlation medium and discrepancies that may exist between a state's records and the corresponding records indexed in the III. When an authorized user of the III finds data that appear to be incorrect, the user should complete Form 1-542 and forward the form to the FBI's CJIS Division so the record can be updated. (More details about Form 1-542 can be found in Appendix J of this manual.)

5.4.1 IDENTIFICATION DATA

Name—The base name in a III record may be different from the base name in the corresponding state record. Primarily, this is the result of records that were established from fingerprints submitted by another state or by a federal agency. In this situation, the state must compare the additional names listed as aliases (AKAs) on the subject's III record with the base name on the state record to help determine if the records are for the same subject. A maximum of 99 aliases can be listed on a subject's III record. Name coding procedures used in the III are described in detail in Chapter 2, 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 or by a federal agency. Additional dates of birth (maximum of 9) listed on the subject's record should be used 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.

Fingerprint Classification—For records established on or after July 28, 1999, the III records will contain a pattern classification. Records established prior to July 28, 1999, may contain the NCIC fingerprint classification (and/or Henry classification) and the pattern classification. (For more information on the pattern classification, refer to the most recent version of the *Electronic Fingerprint Transmission Specification* publication, which can be obtained by contacting the NCIC/IAFIS regional coordinator at the FBI's CJIS Division.)

Indexing Additional Identifiers—If a state record contains additional identifiers that are 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 add supplemental identifiers to the following fields:

<u>Field</u>	<u>Maximum Number of Additional Entries in the III</u>
AKA (alias names)	99
MNU (miscellaneous number)	9
DOB (date of birth)	9
SMT (scars, marks, and tattoos)	9
SOC (Social Security number)	9

The procedures for entering supplemental identifiers into a record are described in Chapter 5 of this manual.

5.4.2 ARREST DATA

State Identification Number (SID)—When an arrest fingerprint submission is processed by the FBI’s CJIS Division and 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 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. When the state enters the subject’s correct SID Number online via an MRS modification message, the III record is automatically updated so that each arrest cycle reflects the correct SID Number.

Date of Arrest (DOA)— The date of arrest (DOA) field contains nine characters. An alphabetic character used in the first position indicates the following:

ALPHA CHARACTER	DEFINITION
A - K	Beginning with A and assigned sequentially, A through K represent the second and subsequent arrests having the same DOA.
L	An L indicates that the DOA was missing and the Date of Offense (DOO) was used instead.
M - Q	An M through Q indicates that the date the subject was received in custody or placed under supervision is the same as the DOA on the subject’s arrest fingerprint impressions.
R - U	An R through U indicates that the DOA and DOO were missing and the date the subject was fingerprinted was used as the DOA.
V - X	A V through X indicates that the date the fingerprint submission was received by the FBI’s CJIS Division was used as the DOA.

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.

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.

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.

5.5 REPORTING POSSIBLE CONSOLIDATIONS, SEALED OR EXPUNGED RECORDS

When a state detects a possible consolidation (e.g., two records contain the same SID Number but have different FBI Numbers), it should use Form 1-542 for reporting the possible consolidation to the FBI. (For more information about Form 1-542, refer to Appendix J or contact the FBI's CJIS Division.) When records are consolidated at the FBI, the III will send participating states a \$.A.CON (Consolidation) unsolicited message advising which FBI Number 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 direct correspondence to the FBI's CJIS Division requesting the CJIS Division to expunge the record(s) as appropriate.

5.6 ESTABLISHING SID NUMBERS AS THE III POINTER

In order 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. The state may use one of two methods to establish its SID Number as the III pointer:

1. The state may submit its SID Numbers by computer medium using the Modify Record SID (MRS) modification message format.

2. The state may transmit MRS modification messages online.

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.

5.6.1 MEDIUM SUBMISSIONS

The medium(s) 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 Number). Prior to submission of the medium, the state should contact the III staff at the FBI's CJIS Division to discuss the appropriate formatting.

When a III state's SID Number is established as the III pointer, the III 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.

5.6.2 MODIFYING A RECORD SID NUMBER VIA AN ONLINE TRANSMISSION

The message format to enter a SID Number online is illustrated by the following example along with a list of the fields that must be present. The SID Number to be entered in the III is the only field in the message requiring an MFC. MFCs, shown as two hyphens (--), are mandatory positional fields not requiring field abbreviations. The MRS modification message is used to modify a SID Number and is explained in further detail in Chapter 5 of this manual.

```
2L01HEADERXXXX01234.MRS.MD1012600.19590110.9015174.SID/MD81331911
(EOT)
```

<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 Number	--
SID/MD81331911	SID to be added	SID/

In response to an MRS modification message, 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 MULTISTATE)
```

Following the “accept” message, the III will transmit either a \$.A.SSO or a \$.A.MSO 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.

SECTION 6—STATE RESPONSE PROCEDURES TO III RECORD REQUESTS

6.1 INTRODUCTION

A QR record request message is used to access a specific criminal history record via the III and can be made using either the FBI Number 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.

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 (NCF) Field 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/19990526.ORI/IL0610000.SID/CT00373238.FBI/9025000.NAM/TEST,SINGLE.
PUR/C.TOS/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/19981101.  
ORI/IL0610000.SID/CT00373238.FBI/9025000.NAM/TEST,SINGLE.PUR/C.  
TOS/BASED ON FBI NUMBER ONLY.ORT/CHICAGO CO SO.ATN/CARL DOE.  
CRIMINAL HISTORY REQUESTED
```

The \$.A.CHR, as well as all other unsolicited messages, must not end with an end of transmission (EOT).

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 \$.A.CHR unsolicited message will be transmitted to the state.

6.4 CR 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 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 03/30/2004 00051  
04:23 03/30/2004 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:

Current State Format

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.CTIII0000
04:23 03/30/2004 00051
04:23 03/30/2004 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”.

NLETS Presentation Format

For the NLETS Presentation Format, each additional response part is preceded by the following message, followed by the original response header:

```
**MESSAGE EXCEEDED 14,400 CHARACTERS-HAS BEEN PARTITIONED BY
NLETS**
**MORE OF MESSAGE TO COME**
```

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

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III/NFF MANUAL
CHAPTER 4—ENTERING RECORDS

SECTION 1—III ACCURACY

1.1 INTRODUCTION

This section addresses the FBI's CJIS Division and the states' responsibility to maintain the integrity of criminal history record information indexed in the III. FBI and state procedures concerning III records must ensure that:

- 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.

1.2 PRIMARY MAINTENANCE OF INDEXED RECORDS

In June 1982, the III Subcommittee and the NCIC APB approved the use of the FBI's Automated Identification Division System (renamed the Identification Division Automated System [IDAS]) to maintain the III database. By utilizing this System, reduced programming effort is required by III participating states to develop extensive online entry and maintenance capabilities.

Subsequently, the NCIC APB endorsed the III Subcommittee's recommendation to merge the III and the IDAS indexes at its meeting in October 1983. This endorsement was conditional: 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. The merger became effective on June 4, 1989.

On July 28, 1999, the IDAS database was merged into the III segment of the IAFIS as the primary maintenance provider for the criminal history records in the III. Through system edits, the III has the capability to:

- 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 the fingerprint/pattern classification is uniformly established for all 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.

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 an IAFIS search be performed and the results returned. The SID block should be left blank in these cases.

III unsolicited messages (\$.A. messages) will be transmitted online via the FBI telecommunication 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.

All III \$.A. unsolicited messages will be transmitted using the MFC format. When an optional field contains no data, neither the MFC nor a period will be present to indicate missing data.

SECTION 2—ENTERING NEW III RECORDS OR III POINTERS

2.1 INTRODUCTION

This section of the manual addresses the four \$.A. unsolicited messages (NPR, RNP, PIR, and RPR) that the III sends when it establishes a new record from a III state or when it updates an existing record.

2.2 ENTERING NEW III RECORDS OR III POINTERS

Records are established in the III for participating states, nonparticipating states, and federal and foreign offenders. One of the four III \$.A. unsolicited messages described in this section are transmitted based on the first criminal retain fingerprint submission processed for a III state. Once a III pointer has been established for a state, the processing of a second or subsequent fingerprint submission 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.

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, a "No Prior Record" message will be sent to the III state. (III states may request that the \$.A.NPR unsolicited message either replace or be provided in addition to the "No Prior Record" notifications mailed to 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 Number 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 Number to the wrong individual's record.

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

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
```

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 in the III for another individual and the submission is not identified with an existing record. If this happens, the FBI will establish a new III record with an FBI pseudo-pointer containing 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 2.3 will be transmitted with the following exceptions:

- 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 unsolicited message, the state personnel must review the message and enter the correct SID Number into the III using the MRS modification message. (Refer to Chapter 5, Section 1.) The FBI Number must be entered in the state database prior to the submission of the MRS. The status indicator will be set upon receipt of the \$.A.SSO message from the III.

The following presents the format and an example of the \$.A.RNP message.

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,  
FOXSPKOOKY LAMBERT.SEX/M.RAC/W.DOB/19560824.FPC/ .DOA/ 19900518.SID  
REJECTED - NO PRIOR NCIC III RECORD
```

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 2.3 will be transmitted with the following exceptions:

- 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 that the \$.A.PIR unsolicited message either replace or be provided in addition to the FBI Identification Record currently being mailed to the SIB.)

Upon receipt of a \$.A.PIR 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 Number and setting the status flag to indicate a multi-source record. Comparing at least one other identifier in addition to the SID Number will help avoid adding the FBI Number to the wrong individual's record.

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

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 Field will be blank.

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 is in the III for another individual and is identified with an existing record that contains no data for that state. When this happens, the FBI will establish the SID Number as an FBI pseudo-pointer containing 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 2.5 of this chapter will be transmitted with the following exceptions:

- 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 unsolicited message, the state personnel must review the message and enter the correct SID Number into the III using the MRS modification message. The FBI Number must be entered in the state database prior to the submission of the MRS. The status indicator will be set upon receipt of the \$.A.MSO message from the III.

The following presents the format and an example of the \$.A.RPR message.

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/DODODIDIP01112XXXXXX.DOA/ 20000112.SID  
REJECTED - PRIOR NCIC III RECORD
```

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

2.7 **CONVERTING MANUAL FBI RECORDS TO THE III**

Unlike new records, which are established based on a current unidentified ("non-ident") fingerprint submission and updated with new data as the subject is arrested, the conversion of a manual record to the III involves the entry of all arrests at one time.

The III also uses the previously discussed \$.A. unsolicited messages to notify states when it is adding information from manual records into the III. Each of these messages contains a Date of Arrest (DOA) Field to identify the fingerprint submission being entered in the III. Because many of the fingerprint submissions in these records represent older arrests for which the state bureau may not have a corresponding fingerprint submission, the III uses a “cut-off date” to determine when to notify a state that its data in a manual record has been automated and added to the III. The DOA on the *first* fingerprint submission by the state will determine if the state is notified of the entry. If the DOA is prior to the “cut-off date,” the III will not notify the state of the entry. The III will establish an FBI pseudo-pointer even though a SID Number may have been on the fingerprint submission. If the DOA is on or after the “cut-off date,” the III will notify the state with the appropriate message. (More information concerning DOA Cut-Off Dates can be found in Appendix K of this manual.)

There are two types of manual record conversions: (1) those that involve the consolidation of a manual record and an automated record that is already indexed in the III and (2) those that do not involve a consolidation. In each of these cases, a state may receive multiple messages regarding the automation of the manual record because the arrest fingerprints for that record are being entered one right after the other. Because the fingerprint submissions for the manual records have accumulated over a number of years, some of the records may not contain SID Numbers and others may have the same or different SID Numbers. If a manual record is automated because of a consolidation, the existing automated record may already be indexed in the III with the same SID Number that is listed on one or more of the fingerprint submissions for the manual record. As each fingerprint submission for the manual record is automated, the software compares the SID Number being entered with those SID Numbers already indexed in the III. If a match is found, the III sends the appropriate \$.A. unsolicited message. The same SID Number cannot be indexed in the III for more than one record.

SECTION 3—STATUS VERIFICATION MESSAGES— \$.A.SSO AND \$.A.MSO UNSOLICITED MESSAGES

3.1 INTRODUCTION

This section of the manual addresses the \$.A.SSO and \$.A.MSO unsolicited messages that the III sends to III states notifying them whether one of their records 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 CHRI. 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 CHRI (e.g., more than one state, one state and one federal CHRI, or one state and a wanted person notice and/or a sexual offender registry notice).

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 record's correct status. (More information concerning a MRS modification message is furnished in Chapter 5, Section 1 of this manual.) In addition, the III will transmit a \$.A.SSO message when the cancellation of Wanted Person and/or Sexual Offender Registration data from III changes the status of the record to single-source.

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 will be as follows:

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, wanted person, or sexual offender registry) 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 1 of this manual. For more information concerning status verification of III records, refer to Chapter 2, Sections 7 and 8 of this manual.)

SECTION 4—III SYNCHRONIZATION AUDITS

4.1 INTRODUCTION

The mandatory biannual III audits are scheduled for the first Sunday of March and September of each year. For those states requesting two additional audits, the first Sunday of June and December are added to their schedule. For each synchronization audit, the III is placed in restricted service on the scheduled Sunday. At this time, an abbreviated copy of each state's indexed records is created on the requested medium format.

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).
- Cartridge 3480 18-track uncompressed, IBM standard labels.
- Cartridge 3480 18-track uncompressed, no labels.
- Cartridge 3490 36-track compressed, IBM standard labels.
- Cartridge 3490 36-track compressed, no labels.
- 4mm Cartridge.
- 8mm Cartridge.
- Compact disc (CD).

4.3 III AUDIT SYNCHRONIZATION NOTIFICATION PROCESS

Thirty days prior to each III synchronization, the III staff from the FBI's CJIS Division forwards an NLETS administrative message (AM) to each state to advise of the scheduled synchronization and the specific III restricted service time. This message serves as a notification to the state to create their synchronization file extract during this period. Two weeks prior to the audit, the III staff forwards a reminder NLETS AM message 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 F of this manual). States opting for the FTP will be provided their records via electronic transmission, and the worksheet and forms will be mailed separately via overnight express. States that are not active FTP users must first contact their NCIC/IAFIS Regional Coordinator. The acknowledge statement form must be returned immediately upon receipt. The certification of audit processing form is to be returned within 90 days, as a certification that the synchronization audit was processed and all record discrepancies were corrected.

4.4 III AUDIT SYNCHRONIZATION CONTENT

Included on the III synchronization medium are 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. Also included are 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 CHRI.

4.5 III AUDIT SYNCHRONIZATION PROCESSING AND RESOLUTION

By comparing the two file extracts, III states can identify discrepancies generated as a result of the comparison and take action to synchronize state and III records. There are two III administrative inquiry messages 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 2 of this manual.) Additionally, the states may use the MRS, DRS, and EHN File Maintenance Messages for resolving discrepancies.

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III/NFF MANUAL
CHAPTER 5—MAINTAINING RECORDS

SECTION 1—MODIFYING THE STATE ACTIVE III POINTER
(MRS MODIFICATION MESSAGE)

1.1 INTRODUCTION

III states must use the MRS modification message key to add or correct a 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 SID Number(s) that is stored in the arrest event(s) for the state is not modified.

If states or other III users encounter difficulties or problems with SID Numbers, they can contact the FBI's CJIS Division at (304) 625-2000.

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 a SID Number has been rejected.

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 an MFC. MFCs shown as two hyphens (--) indicate mandatory positional fields not requiring field abbreviations in the message. If an MFC is used, the III will transmit a reject message.

Message:

2L01HEADERXXXX01234.MRS.MD1012600.19590110.9015174.SID/MD81331911 (EOT)

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 Number	--
SID/MD81331911	SID to be indexed	SID/

*The information in this field must include any DOB in the III associated with the person or the DOB in either the \$.A.RNP or \$.A.RPR 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 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’s 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, it may not immediately follow the “accept” message because other NCIC and III messages have a higher priority.

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 Number. Additionally, the agency must *not* use an MFC when entering the incorrect SID Number.

Example:

```
2L01HEADERXXXX01234.MRS.SCLED0000.SCOLD SID.9002200.SID/SCNEWSID
```

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

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 but cannot be supported by the state. *The state should not expunge its SID Number in these cases because the record is valid and can be supported by the FBI.* 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 date of birth (DOB).

The format of the MRS modification message that must be used to change a state’s SID Number to an FBI pseudo-pointer is shown in the example in Part 1.2; however, the state’s SID Number must be used in place of the DOB as the record identifier preceding the FBI number. 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. 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
```

No \$.A.SSO or \$.A.MSO unsolicited message will be transmitted following the “accept” message.

SECTION 2—ENTERING SUPPLEMENTAL IDENTIFIERS (EHN UPDATE MESSAGE)

2.1 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 when the state processes fingerprint submissions for nonserious offenses.

III users must employ an EHN update message when entering a supplemental identifier(s). A maximum of nine supplemental identifiers may be entered in one EHN update message.

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.

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

<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 Number	--
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.)

A maximum of 99 aliases can be appended to a III record. The DOB, MNU, SMT, and SOC Fields each are limited to nine supplemental identifiers in the III record. When an EHN update message contains a supplemental identifier(s) that is already on file, the III will overlay the existing 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
```

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) 625-2000.

Example:

```
2L01HEADERXXXX01234.EHN.MD1012600.MD81331911.9015174.SOC/787654321
(EOT)
```

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 NUMBER/
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 for each SOC and/or MNU. The word END will appear at the conclusion of the last \$.T. message.

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 an 8 or 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 will be transmitted by the III in this situation.

Example:

```
2L01HEADERXXXX01234.EHN.MD1012600.MD81331911.9015174.SOC/894112311
(EOT)
```

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 3—CANCELING SUPPLEMENTAL IDENTIFIERS (XHN CANCELLATION MESSAGE)

3.1 INTRODUCTION

III users must employ an XHN cancellation message to cancel a specific supplemental identifier(s) (i.e., AKA, DOB, MNU, SMT, and/or SOC) from a III record. Online cancellation of a supplemental identifier(s) will be allowed only for single-source III records. The designated state agency transmitting the XHN cancellation message must be the state of record. An online cancellation of a supplemental identifier(s) for a multi-source record will not be allowed because the index is shared and the identifier(s) may be applicable to another state or federal record. To cancel a supplemental identifier(s) in a multi-source record, the III state must contact the FBI's CJIS Division at (304) 625-2000.

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. In order 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.

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.

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

<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 Number	--

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. Instead, users must separate the identifiers with period(s).

SECTION 4—DELETING STATE RECORDS INDEXED IN THE III (DRS DELETION MESSAGE)

4.1 DRS DELETION MESSAGE—INTRODUCTION

IMPORTANT NOTE: The DRS deletion message is used to initiate expungement of a state's *entire* record that is in the III. It is not used for partial expungement, i.e., the record contains an arrest cycle(s) that is *not* to be expunged.

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 (record request) Purpose Code A (administrative) to obtain this information prior to 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 submit written documentation to the FBI's CJIS Division to confirm the partial expungement.

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 written documentation to the FBI's CJIS Division to expunge all arrest cycles from the III record, and any other associated data. The MKE to be used in these instances is the DRS. The DRS deletion message flags the state's SID Number as expunged, places a "pending expungement" flag on the state's active DOAs, and stops dissemination of the state's data based on either a III query, fingerprint submission, and/or document processing for 30 days. It is suggested that the III state expunge their state record upon receipt of the unsolicited message EXP or EXS from the III.

The state must submit expungement/purge documentation promptly. If the FBI's CJIS Division does not receive the documentation within 30 days of a state's DRS deletion message, the state's data in that record will be reactivated. The III will send a \$.A.REA unsolicited message advising the state that the record has been reactivated and the "pending expungement" flag removed. The III will substitute an active FBI pseudo-pointer for the state's expunged SID Number. When this happens, the FBI's CJIS Division will provide the state's data for record requests. The state must transmit an MRS modification message to re-establish the SID Number in the III in order to expunge the record. Additionally, the state must transmit a new DRS deletion message.

When a state transmits a DRS deletion message in error, it can use an MRS modification message to reactivate the SID Number (e.g., remove the expungement flag from the SID Number and the "pending expungement" flag from the appropriate DOAs). The MRS modification message must contain the individual's date of birth as the record identifier preceding the FBI Number. (Section 1 of this chapter furnishes the format for the MRS modification message.) After the III receives the MRS modification message, the III reviews its 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.”

In the event 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 does 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 or \$.A.EXS unsolicited message. (Subsection 4.5 of this section provides the format for the \$.A.EXP and \$.A.EXS unsolicited messages.)

A state must not remove its SID Number when it does not intend to submit documentation to the FBI’s CJIS Division or when the state chooses not to support the record. In these cases, the state should use an MRS modification message to modify its SID Number to an FBI pseudo-pointer.

4.2 EXAMPLE DRS DELETION MESSAGE AND “ACCEPT” MESSAGE

The message format shown below is used to remove a SID Number from the III. The information following the example explains the data contained in the message. This message should be used by a state when the state record ceases to exist for any reason (other than the death of a person) and the state is preparing to forward documentation to the FBI’s CJIS Division to expunge/purge its data. 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.

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

<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 Number	--

XPL/COURT ORDERED
EXPUNGEMENT

Literal Field (maximum
of 75 characters) to
explain reason for
removal of SID

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
```

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 placement of a “pending expungement” flag on the state’s active DOAs.
 - C. The transmission of a \$.A.EXP (FBI Number Expunged) message to the state
after the FBI’s CJIS Division processes the associated expungement
documentation.

During the 30-day wait period, III inquiries by FBI Number 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.

Upon receipt of the proper documentation, the FBI’s CJIS Division will expunge the
state’s data. As mentioned previously, if for any reason the FBI’s CJIS Division does
not receive the documentation within 30 days of a state’s DRS deletion message, the
state’s data in that record will be reactivated. The III sends a \$.A.REA unsolicited
message advising the state that the record has been reactivated and the “pending
expungement” flag removed. An active FBI pseudo-pointer will be substituted for the
state’s expunged SID Number. The FBI’s CJIS Division will provide the state’s data
for record requests in lieu of the state.

2. If the record is multi-source, the DRS deletion message will cause:
 - A. The SID Number to be flagged as expunged.
 - B. The placement of a “pending expungement” flag on the state’s active DOAs.
 - C. The transmission of an unsolicited \$.A.EXS (SID Expunged) message to the state after the FBI’s CJIS Division processes the associated expungement documentation.

During the 30-day wait period, the state’s data will be suppressed from responses to III inquiries by FBI Number and fingerprint submission and/or document processing. Inquiries using the expunged SID Number will result in a “no record” type response. If the proper documentation is not received within the required 30 days, the state’s pointer will be reactivated as an FBI pointer.

3. 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.

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 may use an MRS modification message to reactivate its SID Number. This may be done by the III state anytime after it is noted that a DRS deletion message was submitted in error. However, there is a limitation of 1 hour after the DRS deletion message is transmitted for an NFF state to forward an MRS modification message to correct the error. The following example depicts an MRS message.

```
2L01HEADERXXXX01234.MRS.MD1012600.19590110.9015174.SID/MD81331911 (EOT)
```

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 message and the FBI processes the associated expungement documentation to remove its SID Number or (2) due to file maintenance or specific literal purposes, the FBI’s CJIS Division deletes a record temporarily or permanently. Under these circumstances, the III uses two types of unsolicited messages relating to record removal: the \$.A.EXP and the \$.A.EXS messages. These messages are described in the following subsections.

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 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/99 PLUS PURGE

4.5.2 \$.A.EXS UNSOLICITED MESSAGE

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

The following text provides the format of a \$.A.EXS (SID Expunged) 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

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

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 a number of XPLs are used internally by the III, 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 Number remains valid and the III reenters the record after the maintenance is completed. Specific literal XPLs explain the reason that the FBI Number was permanently deleted from the III.

4.6.1 FILE MAINTENANCE XPLs

File Maintenance XPLs notify state agencies that the FBI's CJIS Division is making internal corrections. In these instances, a record(s) is removed temporarily from the III and reentered after the 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.

1. XPL/DELETE TYPE 1

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

2. 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.

4.6.2 SPECIFIC LITERAL XPLs

A specific literal XPL usually indicates that a fingerprint submission has been returned to the submitting agency and, consequently, the FBI Number has been deleted permanently 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 Number. 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 an arrest entry in the III was removed 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 “non-ident”) was entered in the III but should have been returned (RETD) to the contributor (CNTRB) instead.

E. XPL/PRINT RETD CNTRB-MISSING DOB

An XPL/PRINT RETD CNTRB-MISSING DOB phrase indicates that a “non-ident” fingerprint submission containing a DOB of 00/00/00 was entered in the III but should have been returned (RETD) to the contributor (CNTRB) instead.

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 must be deleted.

H. XPL/99 - PLUS PURGE

An XPL/99 - PLUS PURGE phrase indicates that a record has been purged from the III because the age of the subject is 99 years or greater.

4.7 \$.A.REA UNSOLICITED MESSAGE—REACTIVATION MESSAGE AFTER 30 DAYS OF DRS RECEIPT

Whenever a state transmits a DRS deletion message and it does not submit an expungement notice to the FBI’s CJIS Division within 30 days of the DRS deletion

message, the FBI will reactivate the III record. Each day, the III identifies records containing SID Numbers that were expunged more than 30 days prior to the current date and for which the FBI did not receive the corresponding expungement notice. Once the record is reactivated, the FBI provides the CHRI contained in the FBI's database in place of the state record.

4.7.1 \$.A.REA UNSOLICITED MESSAGE FORMAT

A \$.A.REA unsolicited message will be transmitted by the III when the FBI's CJIS Division does not receive documentation within 30 days of a DRS deletion message. The \$.A.REA unsolicited message substitutes an active FBI pseudo-pointer (e.g., PA**123056) for the state's SID Number, and the FBI's CJIS Division provides the CHRI until the state determines if the record is an actual expungement from the state's files. The following text provides the format and an example of a \$.A.REA unsolicited message. This message is used to notify a state when the III reactivates suppressed records.

Message Format:

\$.A.REA.SID/(3-10 characters). FBI/(1-9 characters) RECORD REACTIVATED

Example:

`$.A.REA.SID/PA12345678.FBI/9000006.RECORD REACTIVATED`

4.7.2 SUPPRESSION OF RECORD AFTER RECEIPT OF \$.A.REA UNSOLICITED MESSAGE

When a state determines that a record should remain expunged after receiving a \$.A.REA unsolicited message, the state must mail an expungement notice to the FBI's CJIS Division. To reactivate the suppression of the record pending the FBI's CJIS Division processing of the expungement notice, the state should enter a SID Number in the III record using an MRS modification message. To re-set the suppression of the record, the state must transmit a DRS deletion message.

4.7.3 STATE RESUMES RESPONSIBILITY OF A III RECORD

When a III record is reactivated and the record is still active in the state's files, the state should transmit an MRS modification message so it can resume responsibility of the III record.

**SECTION 5—REMOVING STATE RECORDS INDEXED IN THE III
FOR DECEASED INDIVIDUALS
(DEC DECEASED MESSAGE AND \$.A.DEC UNSOLICITED MESSAGE)**

5.1 INTRODUCTION

The message key DEC 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 “decease” 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 (Explanation) Field. The FBI’s CJIS Division retains the reported 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 99 years of age and (2) If a state’s policy dictates that it will “decease” 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 “deceased” 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 new policy, the CJIS Division will accept and process known deceased fingerprints for FBI-maintained records. For state-maintained records, III/NFF states must continue to utilize the III online DEC (file maintenance) message appended with an FII Message Field code to decease 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 ORI of the agency reporting the death and the date of death in the appropriate fields of the internal record. Future inquiries by FBI Number 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 Number 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.

5.2 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 (EOT)

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 Number	--
XPL/MDBPD0000 - 19990117	Explanation Field (maximum of 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. If the record’s

status changes from multi-source to single-source, 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 Number 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 state’s CHRI will be retained in the III 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 99 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 Number. 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.”

5.3 DEC MESSAGE APPENDED WITH AN FII FIELD

If a state’s policy dictates that it will only decessate 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 “decessates” 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 (EOT)

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 Number.

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

6.1 INTRODUCTION

When the III detects two or more FBI Numbers assigned to the same individual, the records will be consolidated and the III will send a \$.A.CON unsolicited message to the state(s) of record. Because the III represents only those records that are automated at the FBI's CJIS Division, III states will receive \$.A.CON unsolicited messages only when the records involved in the consolidation are automated. When a manual record is involved in a consolidation with an automated record, the FBI's CJIS Division will automate the manual record prior to the consolidation. The FBI's CJIS Division will notify the SIBs via the U.S. Postal Service of the consolidation of two or more manual records. (More information concerning the automation of manual records is furnished in Chapter 4, Section 2, Subsection 2.7 of this manual.)

When a state assigns a second SID Number to the same individual on a subsequent arrest, the III will transmit a "Nonmatching SID Ignored" (\$.A.NMS) unsolicited message to the state. Additionally, 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.

6.2 \$.A.CON UNSOLICITED MESSAGE—FBI NUMBER 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 unsolicited message only when the III record(s) contains the state of record's SID Number. If the III state has not requested cancellation of follow-up records sent to it via the U.S. Postal Service, the FBI's CJIS Division will advise the state of the consolidation via the mail and the \$.A.CON message.

6.2.1 \$.A.CON UNSOLICITED MESSAGE FORMAT

The following is the 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 Number are associated with the III record being retained. The second SID Number and FBI Number 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 Number 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 NUMBER 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.

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 Number (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 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
```

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. A canceled FBI Number (in this case, FBI/9000012) will be purged from the III and the record will be consolidated.
- 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 the SID Number has 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 a MRS modification message. (More information on this topic is furnished in Section 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
```

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 6.2.3, 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. A canceled FBI Number (in this case, FBI/9000012) will be purged from the III, and the record will be consolidated.
- 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
```

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. A canceled FBI Number (in this case, FBI/9000012) will be purged from the III, and the record will be consolidated.
- 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 Number. 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
```

A consolidation in this circumstance 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.

6.3 \$.A.NMS UNSOLICITED MESSAGE—SID NUMBER CONSOLIDATION

When two or more SID Numbers assigned to the same individual are detected in III records, the III sends a \$.A.NMS unsolicited message (Nonmatching SID Ignored) to the state to advise that a different SID Number has been assigned to the individual. The newest SID Number will be ignored for III indexing purposes. However, it will be stored with the specific arrest cycle for which it was submitted. 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. In the event the new SID Number is also indexed

in the III for a different FBI Number, the other FBI Number 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, no SID Number will be entered 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/document processing, the SID Number indexed as the state's III pointer is inserted automatically in the SID Number position for each of the state's dates of arrest on the FBI Identification Record 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 Identification Record.

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-1098132.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 Number 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.

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

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 Number, the III will append the \$.A.NMS unsolicited message with a caveat that identifies the other FBI Number.

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/(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/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. It is ignored because it does not match the SID Number already indexed as the active III pointer for the individual (TX00000789).
- B. The first FBI Number (9000002) is the one already existing for the individual.
- C. The ORI Field through the DOA Field contain 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 Number (9000013) represents the record already indexed with the SID Number (TX00000456) from the incoming fingerprint submission.

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 Number (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.

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III/NFF MANUAL
CHAPTER 6—APPLICANT FINGERPRINT PROCESSING

SECTION 1—PROCEDURES FOR PROCESSING APPLICANT FINGERPRINTS

1.1 INTRODUCTION

This chapter describes how applicant fingerprint submissions are processed in the III. These procedures impact all applicant fingerprint contributors.

Prior to 1987, the FBI's CJIS Division provided the search results for applicant fingerprint submissions via the mail. Since that time, the FBI's CJIS Division has implemented the capability to provide to authorized SIBs, upon request, the fingerprint search results online via the III in lieu of the mail. The results indicate whether the fingerprint submission was either "non-identified" (not identified) or identified with an existing criminal history 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 can request the CHRI via the III using the appropriate purpose code. The state agency can then forward, via electronic submission or mail, the CHRI to the local noncriminal justice (NCJ) agency when the search is for NCJ applicant purposes or the search results to a criminal justice (CJ) agency when the search is for either CJ or NCJ applicant purposes. Those states wishing to receive applicant fingerprint search results online via the III must provide prior notification to the FBI's CJIS Division at (304) 625-2000.

In 1998, the CJIS APB recommended that the CJIS Division destroy all paper ten-print submissions sent to the FBI for identification after the FBI's automated system (the IAFIS) became fully operational in July 1999. As a result of this recommendation, the FBI's CJIS Division destroys all paper applicant ten-print submissions (*except submissions that result in a reject*) after it processes them. When a search results in a reject, the FBI's CJIS Division returns the ten-print submission in question to the SIB.

1.2 DISSEMINATION OF CHRI FOR NONCRIMINAL JUSTICE PURPOSES

The III Program's guidelines call for the receiving state to govern the dissemination of CHRI for noncriminal justice use according to the laws of its state. Any III state providing its records for noncriminal justice purposes must provide all CHRI except that portion of the records that have been sealed at the state level. Screening of the FBI Identification Record information and the state's CHRI is the responsibility of the receiving state. If the receiving state has screening laws, it must apply those screening laws prior to disseminating the record to its noncriminal justice agencies. If no screening laws exist, the state will disseminate the FBI Identification Record and the state's CHRI without screening.

On June 22, 2005, the National Crime Prevention and Privacy Compact Council published in the *Federal Register* a final rule entitled “Criminal History Record Screening for Authorized Noncriminal Justice Purposes” (28 CFR Part 904). This rule formalizes the FBI’s III Program guidelines related to record screening prior to the dissemination of CHRI for noncriminal justice use.

SECTION 2—APPLICANT FINGERPRINT SUBMISSIONS IDENTIFIED AT THE STATE LEVEL

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), an SIB is required to 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 an identification is made, 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 shall forward the fingerprint submission to the FBI's CJIS Division for processing. When performing a III record request for criminal justice applicant purposes (Purpose Code J), an 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 may forward the fingerprint submission to the CJIS Division for processing.

2.2 USE OF THE III FOR NONCRIMINAL JUSTICE PURPOSE CODE I

Prior to 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 inquiry message to retrieve any aliases and other supplemental identifiers that may be on file. The QH inquiry message must be made using either the individual's FBI Number or SID Number and must contain Purpose Code I; the III will reject the inquiry if the identifiers NAM, DOB, SEX, RAC, and SOC/MNU are used.

To obtain the actual CHRI via the III, the state must use a QR record request message containing Purpose Code I. Only those III states that respond to Purpose Code I 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 I. (More information on the \$.A.CHR unsolicited message is furnished 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:

THIS RECORD MUST BE USED ONLY IN CONJUNCTION WITH THE CURRENT
APPLICATION - A NEW RECORD MUST BE REQUESTED FOR FUTURE USE.

ALL ARREST ENTRIES CONTAINED IN THIS FBI RECORD ARE BASED ON FINGERPRINT
COMPARISONS AND PERTAIN TO THE SAME INDIVIDUAL.

2.3 USE OF THE III FOR CRIMINAL JUSTICE EMPLOYMENT PURPOSE CODE J

An authorized SIB may use Purpose Code J in its QH inquiry and QR record request messages when it processes an applicant fingerprint submission for criminal justice employment. When performing a III record request for criminal justice applicant purposes (Purpose Code J), an 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 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 \$.A.CHR unsolicited message is furnished in Chapter 3 of this manual.)

SECTION 3—ALTERNATIVES FOR PROCESSING APPLICANT FINGERPRINT SUBMISSIONS

3.1 NON-IDENTIFICATIONS

Two methods are available to fingerprint contributors when the FBI's CJIS Division "non-identifies" (does not identify) an applicant fingerprint submission:

- **Method 1**—The FBI's CJIS Division provides via mail or the CJIS WAN the "non-ident" record response to the appropriate agency (the contributor or SIB) and destroys the fingerprint submission.
- **Method 2**—The III system sends an online \$.A.CFN unsolicited message to the SIB providing the non-ident record response, and the SIB provides the results to the contributor. The FBI's CJIS Division destroys the fingerprint submission. (Refer to Section 4 of this chapter for the message format and an explanation of the \$.A.CFN unsolicited message.)

3.2 IDENTIFICATIONS

Two methods are available for screening and nonscreening states when the FBI's CJIS Division identifies an applicant fingerprint submission with a III record:

State Retrieves CHRI

- **Method 1**—(Screening and Nonscreening States)—The III system sends to the SIB an online \$.A.CFR unsolicited message that contains the FBI Number, purpose code, and other pertinent data from the fingerprint submission, and the FBI's CJIS Division destroys the fingerprint submission. The SIB is then responsible for retrieving the CHRI and forwarding it to the contributor. (Refer to Section 5 of this chapter for the message format and explanation of the \$.A.CFR unsolicited message.)

FBI Retrieves CHRI

- **Method 2A**—(Nonscreening States)—The FBI's CJIS Division retrieves the CHRI and provides it via mail or the CJIS WAN to the appropriate agency (the contributor or SIB) based on existing statutes and destroys the fingerprint submission.
- **Method 2B**—(Screening States)—The FBI's CJIS Division retrieves the CHRI and provides it via mail or the CJIS WAN to the SIB and destroys the fingerprint submission. The SIB applies its dissemination standards prior to responding to the contributor.

NOTE: As of June 15, 2003, authorized agencies can receive single, complete electronic rap sheet responses for electronic applicant submissions identified with criminal records that are maintained completely or partially by NFF states.

SECTION 4—USE OF THE \$.A.CFN MESSAGE WHEN APPLICANT FINGERPRINT SUBMISSIONS ARE NOT IDENTIFIED

4.1 INTRODUCTION

When applicant fingerprint submissions are 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. The FBI's CJIS Division destroys the fingerprint submission.

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.

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	1999/12/15	1999/12/15

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 characters. 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 processes the applicant fingerprint submission.
- E. The “FBI REPLY DATE” is the date the \$.A.CFN unsolicited message is sent.
- 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 5—USE OF THE \$.A.CFR MESSAGE WHEN APPLICANT FINGERPRINT SUBMISSIONS ARE IDENTIFIED

5.1 INTRODUCTION

When an applicant fingerprint submission is identified with a record in the III, the III transmits the search results online via a \$.A.CFR unsolicited message to the appropriate SIB. The \$.A.CFR message provides the FBI Number, 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. The FBI's CJIS Division destroys the fingerprint submission.

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	1999/12/15	1999/12/18

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-		
BIRTH DATES	TATTOOS	SOCIAL SECURITY	MISC NUMBERS
1954/12/23	SC L CHK	777-77-7777	AF-989898989
	SC ABDOM		

IDENTIFICATION DATA UPDATED 1984/03/05

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. The purpose code (PUR/I) in the first line will be changed to PUR/J if the fingerprint submission represents an applicant for criminal justice employment.
- C. The OAN and OAC Fields each have a maximum length of 20 characters.
- D. The CASE number can be a maximum of 20 characters. 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 processes the applicant fingerprint submission.
- F. The "FBI REPLY DATE" is the date the \$.A.CFR unsolicited message is sent.
- G. The "FINGERPRINT CLASS" is not provided on responses that were established after July 28, 1999. 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:

1. When the purpose code in the first line is “I,” the CHRI will be provided by those III states that have authority to provide their CHRI for Purpose Code I; the FBI’s CJIS Division will provide the CHRI for all other states.
2. When the purpose code in the first line is “J,” the CHRI will be provided by those III states that have authority to provide their CHRI for Purpose Code J; the FBI’s CJIS Division will provide the CHRI for all other states.

5.3 FBI RETRIEVES CHRI (METHODS 2A AND 2B)

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 CHRI (according to “Methods 2A and 2B” as described in Section 3.2 of this chapter), the CJIS Division will retrieve the CHRI and provide it via mail or the CJIS WAN to the submitting state. A response cover sheet will advise the recipient why the record is being provided and which agencies provided the CHRI. When all or a portion of an identified record is maintained by an NFF state, the CJIS Division will use the III to retrieve the NFF record. CHRI maintained by non-NFF states will be provided by the CJIS Division.

5.4 ELECTRONIC APPLICANT SUBMISSIONS

Those states submitting applicant fingerprints electronically to the IAFIS 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 ten-print submission and forward the record to the contributing agency electronically or via mail.

In December 2002, the CJIS APB approved an IAFIS Interface Evaluation Task Force (IIETF) recommendation to permit electronic submitting states to receive hard copy responses for applicant ten-print submissions. This accommodation was instituted on an interim basis until the state can obtain the necessary infrastructure to forward the results electronically to the contributors. For more details concerning the IIETF’s recommendation, contact the FBI’s CJIS Division at (304) 625-2000.

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III/NFF MANUAL
CHAPTER 7—SPECIAL FLAGS AND RECORD CYCLES

SECTION 1—IDENTIFICATION FOR FIREARMS SALES (IFFS)

1.1 INTRODUCTION

This chapter describes the system design of the IFFS Program and includes the necessary programming changes, record response processing, and status flag maintenance that must occur after a III/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 used 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 ordinance.
- 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.

1.2 IFFS SYSTEM DESIGN

The IFFS system design transfers state record flags into the III to flag criminal history records. This design includes three 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 disqualifying conviction(s), e.g., a felony or misdemeanor crime of domestic violence.
- **C**—used when the subject's record contains no disqualifying conviction (court action).
- **X**—used when the subject's record contains a pending court disposition or when the status of the record is unknown. (This status is also used in cases when a criminal history record has not been reviewed to determine if one of the other two IFFS status flags applies.)

The III will set a flag value of D whenever a subject has a disqualifying conviction. The 1968 Gun Control Act states that a person is disqualified from purchasing a firearm if the person has been convicted of a "crime punishable by imprisonment for a term

exceeding one year, but excludes (1) certain specified federal or state offenses relating to the regulation of business practices, and (2) any offense classified by the state as a misdemeanor and punishable by a term of imprisonment not exceeding 2 years. Also excluded are those whose conviction has been expunged or set aside or for which the person has been pardoned or had his civil rights restored.” Additionally, persons who under federal law have been convicted of a misdemeanor crime of domestic violence are disqualified from purchasing firearms.

The federal firearm prohibitions against possession/purchase are found in 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 under 18 U.S.C. 922(g) (1) and 921(20). The potential 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 under 18 U.S.C. 922(n) and 27 CFR 178. This includes indictments 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 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.

- 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(2) and (3).
- G. Persons who have been discharged from the Armed Forces under dishonorable conditions.
- H. Persons who have renounced their United States citizenship.
- 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 under the Gun Control Act and subject the individual to the firearm 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[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, not state, law. Consequently, if the order meets federal criteria, the order may be submitted as a disqualifying record.

- J. Persons who have been convicted in any court of a misdemeanor crime of domestic violence (*mcdv*). The term *mcdv* means an offense that is a misdemeanor under state or federal law (including municipal ordinances) and has as an element 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, trespass against a person, arson against a person, 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(33) and 27 CFR 178.

1.3 RECORD RESPONSE PROCESSING

Although response headers for firearm requests (QR record request messages) did not change with the implementation of the IFFS Program, response headers for firearms-related inquiries (QH inquiry message) did change. The first character of the inquiry response header begins with a unique alpha character that readily identifies (1) if a subject is disqualified from purchasing a weapon, (2) if a subject is not disqualified from purchasing a weapon, or (3) if the circumstances require a review of the criminal history record to make a determination. The header characters used in these instances are the alpha characters D, I, 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 alpha character N.

The IFFS Program uses flags D, C, or X to record the correct status flag in criminal history records. However, these alpha characters are not quoted in the responses. Instead, the literal translation for the status flags is displayed immediately following the FBI Number and/or each SID Number on all QH inquiry 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.

1.3.1 RECORD RESPONSE FOR NO RECORD ON FILE

When no CHRI is identified for a record subject, the alpha 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
```

1.3.2 RECORD RESPONSE FOR DISQUALIFYING INFORMATION

When a subject's record contains disqualifying information, the alpha 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	2000/02/02

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	SOCIAL SECURITY
GLASSES	244-54-1212
TAT L ARM	

IDENTIFICATION DATA UPDATED 2000/01/29

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

VIRGINIA	- STATE ID/VA1212126 - DISQUALIFICATION FOR FIREARMS
SOUTH CAROLINA	- STATE ID/SC0012343 - NO DISQUALIFICATION FOR FIREARMS
GEORGIA	- STATE ID/GA3332345 - COURT DISPOSITION PENDING/ CONVICTION STATUS UNKNOWN

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

END

1.3.3 RECORD RESPONSE FOR NO DISQUALIFYING INFORMATION

When a subject's record contains no disqualifying information, the alpha character I will be the first character of the response header in a firearms-related QH inquiry single candidate response, and the IFFS flag will be C.

IL01HEADERXXXX01234

DCFBIWA10

THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF
YOUR INQUIRY ON NAM/TEST,JOAN DOB/19740103 RAC/W SEX/F PUR/F

NAME	FBI NO.	INQUIRY DATE
TEST,JOAN	9077700	2000/02/02

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 63 08 CI 14	RS LS RS RS LS RS LS RS LS LS
70 22 63 PO 09	AU WU AU AU AU WU

SCARS-MARKS-	SOCIAL SECURITY
TATTOOS	123-45-6789
GLASSES	
TAT L ARM	

IDENTIFICATION DATA UPDATED 2000/01/29

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

FBI	- FBI/9077700	- NO DISQUALIFICATION FOR FIREARMS
SOUTH CAROLINA	- STATE ID/SC0012342	- NO DISQUALIFICATION FOR FIREARMS

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

END

1.3.4 RECORD RESPONSE FOR PENDING OR 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 alpha 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 alpha 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	2000/02/02

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 LS RS RS LS LS
70 22 63 PO 08	AU WU AU AU WU AU

SCARS-MARKS- SOCIAL SECURITY
TATTOOS 241-54-1212
GLASSES
TAT L ARM

IDENTIFICATION DATA UPDATED 2000/01/29

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

FBI	- FBI/9066600	- NO DISQUALIFICATION FOR FIREARMS
SOUTH CAROLINA	- STATE ID/SC0012344	- COURT DISPOSITION PENDING/ CONVICTION STATUS UNKNOWN

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

END

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 and other contributors. This occurs either when the FBI establishes a III record for the first time (no identification [a “non-ident”]) 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 as far in advance as possible. IFFS states have two means of changing the IFFS status flag: (1) an online EHN update message (explained below) containing the appropriate matching criteria and the MFC IFS/ followed by the appropriate status flag or (2) a computer medium with EHN 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 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 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.

2L01HEADERXXX01234.EHN.MNBCA0000.MN82009700.9000005.IFS/ (EOT)

<u>Sample</u>	<u>Field</u>	<u>MFC</u>
2L01HEADERXXX01234.	Header	--
EHN.	Message Key	--
MNBCA0000.	Designated State Agency Identifier	--
MN82009700.	SID	--
9000005.	FBI Number	--
IFS/	IFFS Status Flag	IFS/

The blank field after IFS should be filled with a D, C, 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 changed by the state, as long as the state's SID Number is not expunged.

1.5 ADDITIONAL SYSTEM CHANGES

With the implementation of the IFFS Program, the \$.A.CON unsolicited message indicating the subject's status currently on file in the III was modified. Additionally, the IFFS status was added to the response to a ZI inquiry message and the response to the MRS 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
```

A positive response to a ZI inquiry has been modified to include the IFFS status for each III pointer as follows:

```
9L01HEADERXXXX01234
DCFBIAA2
IDENTIFICATION SEGMENT III RECORD OF FBI/9005500 1992/05/28
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/19920204 DRE/19891028
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

1.6 III AUDIT (SYNCHRONIZATION) RECORD LAYOUT

The III has a provision that requires III states to conduct biannual audits of its III records. The FBI provides a copy of the state's data in the III and its current III status. The data include pertinent information that must be compared against the state's records to identify discrepancies. An IFFS 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, C, or X will be located in this position. D indicates that the subject of the record is disqualified based on a conviction, C indicates that the subject of the record has no felony or disqualifying misdemeanor conviction, and X denotes that the status of the record is unknown or court action is pending. If the IFFS state detects a discrepancy in the IFS flag, the state must forward an EHN update message to modify the flag.

SECTION 2—CONVICTED SEXUAL OFFENDER REGISTRY NOTICES

2.1 INTRODUCTION

The Convicted Sexual Offender Registry data contained in an FBI Identification Record is obtained from the NCIC Convicted Sexual Offender Registry File. In cases where all CHRI pertaining to a subject is provided by a III state(s), the FBI's CJIS Division will respond to an inquiry with an FBI Identification Record containing only the convicted sexual offender registration information. The addition of the convicted sexual offender registration data to a single-source record will change the record status to multi-source. The state of record will receive a \$.A.MSO unsolicited message to change the status of its record.

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 Convicted Sexual Offender Registry File.

Example:

```
2L01HEADERXXXX01234.QH.DCFBIWA10.NAM/DUCK, DONALD C.SEX/M.RAC/U.
DOB/19681230.PUR/C (EOT)
```

```
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	2000/02/23

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE	PHOTO
M	W	1968/12/30	505	150	BLU	BLK	CALIFORNIA	N

```
FINGERPRINT CLASS
24 53 09 14 19
24 10 05 19 19
```

```
PATTERN CLASS
RS RS UC RS SR RS LS LS WU
WU WU AU LS
```

ALIAS NAMES

```
DUCK, D D
DUCK, DONALD CEE
```

```
DUCK, DAFFY D
```


SCARS-MARKS-
TATTOOS SOCIAL SECURITY
SC R ARM 123-45-6789

IDENTIFICATION DATA UPDATED 1999/11/18

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	2000/02/23

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
24 53 09 14 19	RS RS UC UC RS RS LS LS AU
24 10 05 19 19	AU WU WU AU LS

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 1999/12/01

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

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 Identification Record of a registered sexual offender. Registration information presented in the FBI Identification Record 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" (non-expiring).

Example:

```
CR.WVFBINF00
04:23 03/30/2004 00051
04:23 03/30/2004 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
***** CRIMINAL HISTORY RECORD *****
```

Data As Of 2004-03-30

```
***** 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; 2004-03-30) All arrest entries contained in this FBI record are based on fingerprint comparisons and pertain to the same individual.(US; 2004-03-30) 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; 2004-03-30)

```
***** 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 (1990-12-06)	Brown (1990-12-06)	17081117113TT091611 (FPC)
		LS LS WU RS WU RS WU RS (Other)
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 (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 Identification Record.

2.4 RECORD STATUS (\$.A.MSO AND \$.A.SSO UNSOLICITED MESSAGES)

The addition of a convicted sexual offender 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 unsolicited message to the state that supports the record.

SECTION 3—WANTED NOTICES

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 NCIC Wanted Person File (WPF). The agency entering the wanted notice is essentially requesting the FBI's CJIS Division to notify them when the individual is apprehended or when it receives other pertinent information about that individual.

When an FBI Number is entered in the NCIC 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 Identification Record response from the CJIS Division. Various types of wanted notices, including federal, state, and local notices can be entered 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) which is included in the wanted data appended to the III and displayed in the FBI Identification Record. Record recipients can use the NIC number to query the WPF to obtain the complete NCIC WPF entry.

In the case of state-maintained III records that contain wanted data, the state will respond to requesters with the criminal history portion of the record, and the CJIS Division will respond with the wanted data via the FBI Identification Record.

3.2 FBI AND LOCAL WANTED MESSAGES FORMAT

The following examples show FBI and local wanted messages transmitted online via the III when CHRI is requested using an FBI Number:

3.2.1 EXAMPLE OF FBI WANT

```
CR.WVFBINF00
04:23 03/30/2004 00051
04:23 03/30/2004 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
***** CRIMINAL HISTORY RECORD *****

Data As Of          2004-03-30

***** 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; 2004-03-30)
 All arrest entries contained in this FBI record are based on
 fingerprint comparisons and pertain to the same individual.(US; 2004-03-30)
 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; 2004-03-30)

***** 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)	17081117113TT091611 (FPC)
		LS LS WU RS WU RS WU RS (Other)

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 TX	Citizenship US	Ethnicity
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 (DCFBIIIIIZ)	
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 01/05/1998 NOTIFY OHFBICV00 FBI CLEVELAND OHIO(FBI;1998-01-05)
---------	--

***** 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 * * *

3.2.2 EXAMPLE OF LOCAL AGENCY WANT

```
CR.WVFBINF00
04:23 03/30/2004 00051
04:23 03/30/2004 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
```

***** CRIMINAL HISTORY RECORD *****

Data As Of 2004-03-30

***** 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; 2004-03-30)
 All arrest entries contained in this FBI record are based on
 fingerprint comparisons and pertain to the same individual.(US; 2004-03-30)
 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; 2004-03-30)

***** 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)	17081117113TT091611 (FPC)
		LS LS WU RS WU RS WU RS (Other)

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 12/25/1999 NOTIFY PAPS00223 SHERIFF'S OFFICE CARLISLE PA (PA; 1999-12-25)
---------	--

***** CRIMINAL HISTORY *****

***** INDEX OF AGENCIES *****

Agency	FBI Clarksburg; WVFBINF00;
Mailing Address	1000 CUSTER HOLLOW RD CLARKSBURG, WV 26306

Agency	Sheriff's Office Carlisle; PAPS00223
Mailing Address	777 Autumn Blvd. Carlisle, PA 22266

* * * END OF RECORD * * *

3.3 RECORD STATUS (\$.A.MSO AND \$.A.SSO UNSOLICITED MESSAGES)

The addition of a wanted notice to a single-source record will change 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 a wanted notice from the III causes the status of the record to change from multi-source to single-source, the III will transmit a \$.A.SSO unsolicited message to the state that supports the record.

SECTION 4—FLASH NOTICES

4.1 INTRODUCTION

Flash notices are established based on requests from federal, state, and county probation and parole authorities; pretrial diversion coordinators; and other criminal justice agencies. These authorities submit a flash request form when they 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 the FBI Number on the flash request is the same as the FBI Number 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. When a criminal fingerprint submission is received and processed by the CJIS Division and is identified with an FBI record containing a flash notice, a hard copy of the FBI Identification Record is sent to the flash agency.

4.2 EXAMPLE OF FLASH NOTICE

The following CHRI rap sheet displays a flash notice (bolded) as it appears in an FBI Identification Record when requested via the III. Flash notices are displayed as part of the arrests on FBI Identification Records.

```
CR.WVFBINF00
04:23 03/30/2004 00051
04:23 03/30/2004 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
***** CRIMINAL HISTORY RECORD *****

Data As Of          2004-03-30

***** 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.
Because additions or deletions may be made at any time, a new copy
should be requested when needed for subsequent use. (US; 2004-03-30)
All arrest entries contained in this FBI record are based on
fingerprint comparisons and pertain to the same individual.(US; 2004-03-30)
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; 2004-03-30)

***** IDENTIFICATION *****

Subject Name(s)

MULDER, FOX SPOOKY
MULDER, FOX (AKA)
MUL, SPOK (AKA)
MULDER, SPOOKIE (AKA)

Subject Description

FBI Number	State Id Number	DOC Number
9000001	676323	

Social Security Number	Driver's License Number
234567890	

Miscellaneous Numbers	Alien Registration	Unknown
3217		
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)	17081117113TT091611
		LS LS WU RS WU RS WU RS

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; WVFBINF00;
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 * * *

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III/NFF MANUAL
CHAPTER 8—NATIONAL FINGERPRINT FILE (NFF) PARTICIPATION REQUIREMENTS

SECTION 1—INTRODUCTION

The following chapters in this component of the *III/NFF Manual* focus on the NFF Program, furnishing participation requirements, operational and processing details, and audit information. The state NFF qualification requirements are contained in Section 2 and are subject to revision. When revisions occur, the FBI's Compact Officer will notify the NFF participating states.

A brief history and an overview of the NFF Program are provided in Chapter 1. To help the user understand both the III and NFF Programs, this manual also contains a glossary of terms, an index of acronyms and codes, and various appendices. In addition to these resources, NFF users may obtain assistance by contacting the FBI's CJIS Division at (304) 625-2000.

NOTE: Should 28 CFR be amended to permit the FBI to maintain all submitted offenses, this manual shall be revised accordingly.

SECTION 2—STATE NFF QUALIFICATION REQUIREMENTS

In order to participate in the NFF Program, a state must first be capable of III participation. A state that joins the NFF subsequent to the enactment of the National Crime Prevention and Privacy Compact Act of 1998 (the Compact) must be a signatory to the Compact. (More details about the Compact are provided in Chapter 1.) The following NFF qualification requirements, as published in the *Federal Register*, include and augment the minimum standards for III participation.

I. Fingerprint Identification Matters

A. A NFF state shall maintain a central criminal history record repository with full technical fingerprint search capability. A 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.

B. A 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. A NFF state's central criminal history record repository shall serve as the sole conduit for the transmission of non-federal applicant² and criminal fingerprint impressions³ for criterion offenses⁴ within the state to the FBI (single source submission).

D. The total percentage of FBI Integrated Automated Fingerprint Identification System (IAFIS) rejects due to low image quality on criminal fingerprint submissions shall be less than 0.5% of the total criminal fingerprint submissions. The total percentage of service provider rejects

¹ A 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.

² A state may also at its discretion consent to process federal applicant fingerprint submissions through the repository in which such request originated. (See Compact Article V[c].)

³ Criminal fingerprint impression may include a fingerprint submission that supports or is linked to an arrest event (i.e., includes corrections fingerprints).

⁴ If 28 CFR is amended to permit the inclusion of all fingerprint-based arrests into the III System, these qualification requirements shall be amended accordingly.

due to insufficient, indiscernible, erroneous or incomplete criminal fingerprint image submissions shall be less than 5%.

E. A NFF state shall not forward criminal fingerprint impressions 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.

F. A 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 a 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).

G. Criminal fingerprint impressions shall be forwarded to the FBI within two (2) weeks of receipt at the state central criminal history record repository.

H. A 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.

I. The master fingerprint impressions maintained at the state central criminal history record repository shall include all ten fingers, noting amputation(s), scars, or missing fingers.

J. 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.

K. A 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.

L. 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% of total criminal fingerprint submissions.

M. The state shall ensure that a SID is on each criminal fingerprint impression not identified at the state level and submitted to the FBI for establishment of a 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, a NFF state shall either receive and forward electronic messages concerning the results 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. A NFF state shall remove the SID from a III record when corresponding record data no longer exists at the state level.

C. A 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 calendar days of audit tape receipt from the FBI. A NFF state shall maintain the discrepancy reports resulting from the last two (2) synchronization tapes.

D. Record completeness, accuracy, and timeliness shall be considered by a NFF state to be of primary importance and shall be maintained at the highest level possible.

E. When a second and/or subsequent criminal fingerprint submission is identified with an Indexed record by a NFF state, the state shall send an electronic Criminal Print Ident (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. A 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.

⁵ There are three options presently available for receiving responses for applicant processes. The state may utilize: The electronic unsolicited III messages reporting the results of applicant fingerprint processing (\$.A.CFN, \$.A.CFR); the IAFIS Submission Results (SRE) response which provides the identification results as communicated over the CJIS Wide Area Network; or the IAFIS System Type of Transaction which generates a manual response to an electronic fingerprint submission (NFFC).

G. Supplemental identifiers which shall be added to the National Identification Index 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. A NFF state shall submit criminal fingerprint impressions to the FBI for second and/or subsequent criterion offenses if these fingerprint impressions show new amputations or new permanent scars.

I. NFF states shall submit ten-finger fingerprint impressions to the FBI as they become available when second and/or subsequent offenses yield improved image quality fingerprint impressions.

J. 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 of notification.

III. Record Response

A. A NFF state's automated criminal history record system shall have sufficient capability to provide a normal on-line record response time of ten (10) minutes or less.

B. A NFF state shall respond within ten (10) minutes to III record requests via the National Law Enforcement Telecommunications Systems (NLETS) with the record or an acknowledgment and a notice of when the record will be provided.

C. When a 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.

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. A 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. A 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 identification⁶, for noncriminal justice purposes as authorized by the Compact.

G. In responding to a III record request for a noncriminal justice purpose, a NFF state shall provide the entire record it maintains on the record 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 requirements⁷.

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. A 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. A NFF state shall demonstrate adherence to the procedures by documenting the test results in writing.

⁶Responses to III name-based searches are permitted for noncriminal justice purposes utilizing purpose code "X" under the Compact Council Fingerprint Submission Requirements Rule.

⁷This 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.

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CHAPTER 9—RECORD REQUEST PROCESSING FOR NFF STATES

SECTION 1—INTRODUCTION

Minor changes were made to III record request processing when the NFF Program was implemented, requiring NFF participating states to respond to both online record requests and 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 2—RECORD PROCESSING BY NFF STATES

2.1 PURPOSE CODES USED IN THE NFF PROGRAM

States participating in the NFF Program must provide their records for all approved purpose codes and any additional purpose codes that may be authorized for the Program in the future. (A complete list of purpose codes and their definitions are provided in Chapter 2 of this manual.) The current approved purpose codes for the NFF Program and brief definitions of them follow.

Purpose Code	Definition
C	Criminal Justice
D	Domestic Violence and Stalking (implemented in February 1997)
F	Weapons-Related Background Checks
I	Interstate-Approved Noncriminal Justice
J	Criminal Justice Employment
S	National Security
X	Exigent Procedures

When the FBI processes a ten-print 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) message through the NCIC telecommunications system to the state. The \$.A.CHR message includes the appropriate purpose code and the IAFIS Control Number (ICN) assigned to the ten-print submission during FBI processing. (The ICN 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 IAFIS can match the NFF record with any additional criminal history information in the III. Before becoming an NFF state, the state must expand the Attention Field in its records to a 40-character maximum in order to accommodate the ICN in both the \$.A.CHR and CR response messages. (More information on the \$.A.CHR unsolicited message and the CR record response formats as they pertain to the III are provided in Chapter 3, Section 6 of this manual.)

In addition to the purpose codes listed in Section 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 are not applicable for 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 is applicable for both single-source and multi-source NFF records.

EL01HEADERXXXX01234

FL9003000

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 SID, the III will replace the FBI Number (in the example above, FBI/9003000) with a SID/(SID Number).

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/IFCS000500001000420315197004
.CRIMINAL HISTORY REQUESTED

NFF State's CR Response message example:

An example of an NFF state CR response message follows. Note that it is different from the CR referenced in Chapter 3, Section 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 08/18/2003 21602
21:00 08/18/2003 01028 WVFBINF00
*HEADERXXXX
TXT
HDR/2L01HEADERXXXX01234
ATN/IFCS000500001000420315197004
SID NUMBER: FL01776048
PURPOSE CODE:I

The format for CHRI containing more than one part is referenced in Chapter 3, Section 6 of this manual. The last line of the last message must be END OF RECORD.

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CHAPTER 10—RESPONDING TO CRIMINAL TEN PRINT CONTRIBUTORS

SECTION 1—INTRODUCTION

This chapter applies to all criminal ten-print contributors and describes how these contributors receive their responses when all or a part of a record is maintained by an NFF state.

Section 2 of this chapter describes the changes affecting all state and local contributors outside an NFF state as well as all federal contributors, regardless of geographic location.

Section 3 describes how responses are provided to state and local contributors in an NFF state when the state identifies the ten-print submission of an individual who has an established NFF record.

Section 4 describes how responses are provided to state and local contributors in an NFF state when the state does not identify a criminal ten-print submission of an individual with a prior III record.

SECTION 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 a federal contributor is identified with an NFF state's record. The FBI also provides responses as required when processing dispositions, expungements, consolidations, death notices, return criminal ten prints, and other documents or correspondence. 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. However, the FBI will not compile the NFF state record and FBI Identification Record into a single record with the criminal history data in chronological order.

When returning records, the FBI attaches 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 NFF 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. A sample cover sheet follows.

Sample Short Answer Cover Sheet

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
CRIMINAL JUSTICE INFORMATION SERVICES DIVISION
CLARKSBURG, WV 26306

MD1012600
TCN 1234567899*

ICN ISIS0004000001545629

THE ENCLOSED RECORD WITH THE FBI NUMBER 123456X11 AND IAFIS CONTROL NUMBER (ICN) ISIS0004000001545629 IS BEING PROVIDED AS THE RESULT OF

**

DATA RELATED TO THIS RECORD WAS REQUESTED FROM THE FOLLOWING:

FLORIDA - STATE ID/FL025561114
FBI - FBI/123456X11

SINCE THIS RESPONSE CONTAINS NATIONAL FINGERPRINT FILE (NFF) REGULATED DATA, THE RESPONSE MAY NOT BE COMPLETE. IF THE RESPONSE IS INCOMPLETE, PLEASE CONTACT THE CRIMINAL JUSTICE INFORMATION SERVICES DIVISION, IDENTIFICATION AND INVESTIGATIVE SERVICES SECTION OR THE STATE BUREAU(S) TO REQUEST A COMPLETE RECORD.

MD1012600
CHIEF
POLICE DEPARTMENT
101 MAIN STREET
ANYWHERE, MD 10101-1111

- * TCN is included if it was provided by the contributor on the fingerprint submission.
- ** This line may be filled with one of the phrases listed below:

Phrases Used for the Short Answer Cover Sheet*

CRIMINAL RETAIN IDENT TEN PRINT SUBMISSION
CRIMINAL RETURN IDENT TEN PRINT SUBMISSION
CIVIL RETAIN IDENT TEN PRINT SUBMISSION
CIVIL RETURN IDENT TEN PRINT SUBMISSION
SUBJECT CRIMINAL HISTORY RESPONSE REQUEST

*Refer to the glossary for an explanation of these phrases.

SECTION 3—NFF STATE’S RESPONSE TO ITS STATE AND LOCAL CONTRIBUTORS

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 under normal circumstances forward the arrest fingerprint images to the FBI. Advising the contributor and any designated agency that the subject has a prior record is the state’s responsibility.

3.2 NFF STATE’S RESPONSE TO SINGLE-SOURCE IDENTIFICATIONS

When a ten-print image is identified with an NFF state’s single-source 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.

3.3 NFF STATE’S RESPONSE TO MULTIPLE-SOURCE IDENTIFICATIONS

When a ten-print 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.

SECTION 4—RESPONDING TO AN NFF STATE AND ITS CONTRIBUTORS WHEN THE STATE DOES NOT IDENTIFY THE TEN-PRINT SUBMISSION

4.1 INTRODUCTION

When an NFF state is unable to identify a criminal ten print against an existing NFF record, the state should send the ten-print submission to the FBI for processing. The FBI will use the basic III messages to notify the NFF state if the ten print was used to establish a new record (\$.A.NPR-No Prior Record) or if the ten print was identified with a record not already containing its data (\$.A.PIR-Prior Index Record). If the print is submitted electronically, the FBI will also send an equivalent message via the CJIS WAN.

4.2 RESPONDING TO CONTRIBUTORS WHEN THE FBI DOES NOT IDENTIFY THE NFF STATE’S TEN-PRINT SUBMISSION

When the FBI does not identify (“non-idents”) an NFF state’s ten-print 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 L 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.

Sample Reformatted “No Prior Record” (\$.A.NPR) Message

```
FL0200100  
DEPARTMENT OF PUBLIC SAFETY, QUINCY, FL
```

```
THIS MESSAGE IS THE RESULT OF AN ARREST TEN PRINT 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

YOUR OCA
A-38701895

ARREST DATE
1999/12/08

FINGERPRINT CLASS

HENRY CLASS

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 1999/12/19.

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. The FPC (Fingerprint Classification) will not be displayed for records established after 7/28/99. The OCA, OAN, and OAC Fields have been expanded to a maximum length of 20-characters.

4.3 RESPONDING TO CONTRIBUTORS WHEN THE FBI IDENTIFIES AN NFF STATE'S TEN-PRINT SUBMISSION WITH A CRIMINAL RECORD

When the FBI identifies an NFF state's ten-print 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) 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 L of this manual.

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

As with the unidentified fingerprints (the non-idents), 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. 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.

Sample Reformatted “Prior Index Record” Message

FL0290200

POLICE DEPARTMENT, TAMPA, FL

THIS MESSAGE IS THE RESULT OF AN ARREST TEN PRINT 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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III/NFF MANUAL
CHAPTER 11—APPLICANT FINGERPRINT PROCESSING

SECTION 1—APPLICANT FINGERPRINT PROCESSING

1.1 INTRODUCTION

This chapter describes how applicant fingerprint submissions are processed in the III. These procedures impact all applicant fingerprint contributors.

Prior to 1987, the FBI's CJIS Division provided the search results of applicant fingerprint submissions via the mail. Since that time, the FBI's CJIS Division has implemented the capability to provide authorized SIBs, upon request, the fingerprint search results online via the III in lieu of the mail. The results indicate whether the fingerprint submission was either "non-identified" (not identified) or identified with an existing criminal history 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 can request the CHRI via the III using the appropriate purpose code. The state agency can then forward, via electronic submission or mail, the CHRI to the local noncriminal justice (NCJ) agency when the search is for NCJ applicant purposes, or the search results to a criminal justice (CJ) agency when the search is for either CJ or NCJ applicant purposes. Those states wishing to receive applicant fingerprint search results online via the III must provide prior notification to the FBI's CJIS Division III staff.

In 1998, the CJIS APB recommended that the CJIS Division destroy all paper ten-print submissions sent to the FBI for identification after the FBI's automated system (the IAFIS) became fully operational in July 1999. As a result of this recommendation, the FBI's CJIS Division destroys all paper applicant ten-print submissions (*except submissions that result in a reject*) after it processes them. When a search results in a reject, the FBI's CJIS Division will return the ten-print submission in question to the SIB.

1.2 DISSEMINATION OF CHRI FOR NONCRIMINAL JUSTICE PURPOSES

The III Program's guidelines call for the receiving state to govern the dissemination of CHRI for noncriminal justice use according to the laws of its state. Any III state providing its records for noncriminal justice purposes must provide all CHRI except that portion of the records that have been sealed at the state level. Screening of the FBI Identification Record information and the state's CHRI is the responsibility of the receiving state. If the receiving state has screening laws, it must apply those screening laws prior to disseminating the record to its noncriminal justice agencies. If no screening laws exist, the state will disseminate the FBI Identification Record and the state's CHRI without screening.

On June 22, 2005, the National Crime Prevention and Privacy Compact Council published in the *Federal Register* a final rule titled “Criminal History Record Screening for Authorized Noncriminal Justice Purposes” (28 CFR Part 904). This rule formalizes the FBI’s III Program’s guidelines related to record screening prior to the dissemination of CHRI for noncriminal justice use.

SECTION 2—APPLICANT FINGERPRINT SUBMISSIONS IDENTIFIED AT THE STATE LEVEL

2.1 INTRODUCTION

Authorized SIBs are permitted to use the III for noncriminal justice purposes (e.g., licensing and employment) and criminal justice applicant purposes. When performing a III record request for noncriminal justice applicant purposes (Purpose Code I), an NFF SIB is required to perform a technical search at the state level to identify the applicant fingerprint submission with a state criminal history record prior to the record request. If an identification is made, the NFF SIB shall retrieve and forward the record to its contributors. If an applicant fingerprint submission is not identified with a record at the state, the state shall forward the fingerprint submission to the FBI's CJIS Division for processing. When performing a III record request for criminal justice applicant purposes (Purpose Code J), an 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 NFF SIB shall perform the technical search. If a criminal justice applicant fingerprint submission is not identified with a record at the state, the NFF SIB shall forward the fingerprint submission to the FBI's CJIS Division for processing.

2.2 USE OF THE III FOR NONCRIMINAL JUSTICE PURPOSE CODE I

Prior to 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 inquiry message to retrieve any aliases and other supplemental identifiers that may be on file. The QH inquiry message must be made using either the individual's FBI Number or SID and must contain Purpose Code I; the III will reject the inquiry if the identifiers NAM, DOB, SEX, RAC, and SOC/MNU are used.

To obtain the actual CHRI via the III, the state must use a QR record request message containing Purpose Code I. Only those III states that respond to Purpose Code I 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 I. (More information on the NFF \$.A.CHR unsolicited message is furnished in Chapter 9 of this manual.)

A III record provided by the FBI's CJIS Division for Purpose Code I will have the following caveats appended:

THIS RECORD MUST BE USED ONLY IN CONJUNCTION WITH THE CURRENT
APPLICATION - A NEW RECORD MUST BE REQUESTED FOR FUTURE USE.

ALL ARREST ENTRIES CONTAINED IN THIS FBI RECORD ARE BASED ON FINGERPRINT
COMPARISONS AND PERTAIN TO THE SAME INDIVIDUAL.

2.3 USE OF THE III FOR CRIMINAL JUSTICE EMPLOYMENT PURPOSE CODE J

When an applicant fingerprint is submitted for criminal justice employment, an authorized NFF SIB may use Purpose Code J in the QH inquiry and the QR record request messages. When performing a III record request for criminal justice applicant purposes (Purpose Code J), an 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 NFF SIB shall perform the technical search. If a criminal justice applicant fingerprint submission is not identified with a record at the state, the NFF 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 3—ALTERNATIVES FOR PROCESSING APPLICANT FINGERPRINT SUBMISSIONS

3.1 NON-IDENTIFICATIONS

Two methods are available to fingerprint contributors when the FBI's CJIS Division "non-identifies" (does not identify) an applicant fingerprint submission:

Method 1—The FBI's CJIS Division provides via mail or the CJIS WAN the "non-ident" record response to the appropriate agency (the contributor or SIB) and destroys the fingerprint submission.

Method 2—The III system sends an online \$.A.CFN unsolicited message to the SIB providing the non-ident record response, and the SIB provides the results to the contributor. The FBI's CJIS Division destroys the fingerprint submission.

3.2 IDENTIFICATIONS

Two methods are available for screening and nonscreening states when the FBI's CJIS Division identifies an applicant fingerprint submission with a III record.

- **State Retrieves CHRI**

Method 1—(Screening and Nonscreening States)—The III system sends to the SIB an online \$.A.CFR unsolicited message which contains the FBI Number, purpose code, and other pertinent data from the fingerprint submission, and the FBI's CJIS Division destroys the fingerprint submission. The SIB is then responsible for retrieving the CHRI and forwarding it to the contributor.

- **FBI Retrieves CHRI**

Method 2A—(Nonscreening States)—The FBI's CJIS Division retrieves the CHRI and provides it via mail or the CJIS WAN to the appropriate agency (the contributor or SIB) based on existing statutes and destroys the fingerprint submission.

Method 2B—(Screening States)—The FBI's CJIS Division retrieves the CHRI and provides it via mail or the CJIS WAN to the SIB and destroys the fingerprint submission. The SIB applies its dissemination standards prior to responding to the contributor.

NOTE: As of June 15, 2003, authorized agencies can receive single, complete electronic rap sheet responses for electronic applicant submissions identified with criminal records that are maintained completely or partially by NFF states.

SECTION 4—USE OF THE \$.A.CFN AND \$.A.CFR MESSAGES

4.1 USE OF THE \$.A.CFN WHEN APPLICANT FINGERPRINT SUBMISSIONS ARE NOT IDENTIFIED

When applicant fingerprint submissions are 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. The FBI's CJIS Division destroys the fingerprint submission. (Refer to Chapter 6 of this manual for the message format and an explanation of the \$.A.CFN unsolicited message).

4.2 USE OF THE \$.A.CFR WHEN APPLICANT FINGERPRINT SUBMISSIONS ARE IDENTIFIED

When applicant fingerprint submissions are identified with a record in the III, the III transmits the search results online via a \$.A.CFR unsolicited message to the appropriate SIB. The \$.A.CFR provides the FBI Number, 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. The FBI's CJIS Division destroys the fingerprint submission. (Refer to Chapter 6 of this manual for the message format and an explanation of the \$.A.CFR unsolicited message).

4.3 FBI RETRIEVES CHRI (METHODS 2A AND 2B)

When the FBI's CJIS Division identifies an applicant fingerprint submission with a III record, and the submitting state has elected for the FBI to retrieve the CHRI (Methods 2A and 2B), the CJIS Division will retrieve the CHRI and provide it via mail or the CJIS WAN to the submitting state. A response cover sheet will advise the recipient why the record is being provided and which agencies provided the CHRI. When all or a portion of an identified record is maintained by an NFF state, the CJIS Division will use the III to retrieve the NFF record. CHRI maintained by non-NFF states will be provided by the CJIS Division. (More details on this topic are provided in Chapter 10 of this manual.)

4.4 ELECTRONIC APPLICANT SUBMISSIONS

Those states submitting applicant fingerprints electronically to the IAFIS 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 ten-print submission and forward the record to the contributing agency either electronically or via mail.

In December 2002, the CJIS APB approved a recommendation from the IAFIS Interface Evaluation Task Force (IETF) to permit states using electronic submissions to receive hard copy responses for applicant ten prints on an interim basis until the state can obtain the necessary infrastructure to forward the results electronically to the applicant contributors. For more details concerning the IETF recommendation, contact the FBI's CJIS Division at (304) 625-2000.

SECTION 5—APPLICANT TEN PRINTS SUBMITTED TO THE FBI BY FEDERAL CONTRIBUTORS

The FBI's CJIS Division uses for both the III and the NFF Programs the same method of processing applicant ten prints submitted by federal contributors in which no criminal records are identified. The CJIS Division provides via mail or the CJIS WAN the "non-ident" record response to the federal contributor.

When applicant ten prints 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. The FBI will include the FBI Identification Record when there are data outside the NFF state and attach a cover sheet to the response, which is sent via mail or the CJIS WAN to the federal contributor. After sending the information to the appropriate agency, the FBI will destroy the ten print. (More information concerning the cover sheet is described in Chapter 10 of this manual.)

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III/NFF MANUAL
CHAPTER 12—ESTABLISHING NFF RECORDS

SECTION 1—INTRODUCTION

This chapter provides NFF record information to NFF states and to III states that are interested in participating in the NFF.

Section 2 of this chapter furnishes information about how the FBI processes initial criminal ten-print submissions provided by an NFF state and the data that are maintained in the FBI's IAFIS relating to the criminal ten prints.

Section 3 provides the conditions under which an NFF state may be asked to submit improved or updated ten prints.

Section 4 of this chapter furnishes information about how the FBI processes criminal ten prints that do not contain SIDs from NFF states.

Section 5 furnishes information about how the FBI processes records already indexed in the III for an NFF participant.

SECTION 2—INITIAL CRIMINAL TEN PRINTS SUBMITTED BY AN NFF STATE (FINGERPRINTS IDENTIFIED OR NOT IDENTIFIED WITH A CRIMINAL RECORD)

2.1 AN NFF STATE’S INITIAL CRIMINAL TEN PRINTS THAT ARE NOT IDENTIFIED WITH A CRIMINAL RECORD

Under the III Program, when a state participating in the III submits to the FBI a ten print that is not identified with an existing criminal record and the SID is present on the ten print, the FBI’s CJIS Division will establish a new record containing all pertinent data from the ten print and transmit a NO PRIOR RECORD (\$.A.NPR) message to the state. Based on this message, the state should enter the FBI Number 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 but 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 ten print. The DOA and OCA are entered and transmitted in the \$.A.NPR message; however, neither is stored in the database. Thus, the FBI record for a “non-ident” ten print 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.)

2.2 AN NFF STATE’S INITIAL CRIMINAL TEN PRINTS THAT ARE IDENTIFIED WITH A CRIMINAL RECORD

When a III participant’s ten print includes a SID identified with a record not containing data from that state, the FBI will enter all pertinent data from the ten print and transmit a PRIOR INDEX RECORD (\$.A.PIR) message to the state. Based on this message, the state should enter the FBI Number in its file and set its III status flag to indicate the record is multi-source.

Under the NFF Program, the FBI’s CJIS Division uses the same procedures but with one exception: the FBI will not store the charge, disposition data, DOA, or OCA contained on the NFF state’s ten print. 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.)

SECTION 3—SUBMISSION OF IMPROVED OR UPDATED TEN PRINTS

All NFF states are required to submit to the FBI for potential updating of the IAFIS database ten prints containing better quality images or new permanent scars/amputations. (Details concerning the submission of improved or updated ten prints are provided in Chapter 13 of this manual.)

SECTION 4—CRIMINAL TEN PRINTS WITHOUT SIDS SUBMITTED BY STATES PARTICIPATING IN THE NFF

Currently, a III participant's SID on a criminal ten print is not required to establish a new record nor for adding the state's data to an existing record. When the III participant's ten print does not contain a SID and is not identified with an existing record, the FBI's CJIS Division establishes a new record with an FBI pseudo-pointer, and the FBI provides the state's data. The CJIS Division sends to the state an \$.A.RNP message (SID REJECTED - NO PRIOR NCIC III RECORD). Likewise, if the participant's ten print without the SID *is* identified with a record not already containing data for the state, the CJIS Division adds the state's data to the FBI record, creates a pointer to the FBI for the state's data, and sends the state an \$.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 cannot add the ten print to the national indices; instead, the CJIS Division will return the print to the state bureau with an explanation attached. No \$.A.RNP or \$.A.RPR message will be sent. The NFF state must add a correct SID and resubmit the ten print. For the NFF state's ten prints submitted electronically to the IAFIS without a SID, IAFIS will generate an error message. The error message received over the CJIS WAN is furnished in Appendix O of this manual.

SECTION 5—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. In addition, the FBI provides records from its manual files that contain criminal history data from states participating in the III. However, these manual records are not indexed in the III but are part of the name index. When the III identifies a subject of current activity through an online inquiry or ongoing manual file conversion, the III automates the manual records.

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 ten prints, 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 whether a future arrest ten print 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 ten prints on file submitted prior to the state's becoming an NFF participant. The FBI's CJIS Division will eventually purge these cards and any related information from the III system. Prior to this purging, the information will be unretrievable 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 with fingerprints all arrest cycles in the FBI record. The NFF state can run a QR 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 can send an MRS 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 if the state so requests.

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III/NFF MANUAL
CHAPTER 13—CRIMINAL TEN PRINTS IDENTIFIED BY AN NFF STATE

SECTION 1—INTRODUCTION

When an NFF state identifies a subsequent criminal ten print and discovers personal descriptors for a subject that were not previously recorded in the III or identifies new amputations or permanent scars that change a subject's fingerprint characteristics, the state must submit this information to the III. This chapter addresses how NFF states should handle these types of subsequent/updated ten prints.

SECTION 2—NOTIFYING THE FBI WHEN A SUBSEQUENT CRIMINAL TEN PRINT 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 must be advised when an NFF state identifies a subsequent ten print 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.

```
2L01HEADERXXXX01234.CPI.FL0370101.FL01776048.9003000 (EOT)
```

<u>Message Segment</u>	<u>Field</u>
2L01HEADERXXXX01234.	Header
CPI.	Message Key (Criminal Print Ident)
FL0370101.	NFF State Arresting Agency Identifier (ORI)*
FL01776048.	SID of record for which an NFF state identified a subsequent criminal ten print
9003000	FBI Number of the identified record

*Inclusion of the arresting agency's ORI in the CPI message enables the III 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  
FL0370100  
ACCEPT CPI FOR SID/FL01776048
```

REJECT messages also are transmitted as necessary.

NOTE: NFF states must queue CPI messages when the III is out of service or in restricted service. Additionally, 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 3—UPDATING THE III WITH SUPPLEMENTAL IDENTIFIERS

When an NFF state identifies a subsequent criminal ten print 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.

SECTION 4—SUBMITTING TEN PRINTS TO UPDATE OR CORRECT THE INDIVIDUAL'S FINGERPRINT CHARACTERISTICS

When an NFF state identifies subsequent ten prints with an NFF record, and the ten prints contain a new amputation or a permanent scar that changes the subject's fingerprint characteristics, the state must forward a submission to the CJIS Division to potentially update the national database. The NFF state should submit the ten prints as an IAFIS Fingerprint Image Submission (FIS) transaction, which alerts the CJIS Division that the ten prints are being submitted solely for updating the fingerprint characteristics in the national index. (The NFF state should package FIS hard copy ten prints in a separate envelope and label the envelope "FIS" so the ten prints can be processed expeditiously.) The appropriate response message transmitted over the CJIS WAN is furnished in Appendix P of this manual. As a general rule, if the ten prints update the state AFIS, the state must forward the prints to the CJIS Division for potential updating of the IAFIS.

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III/NFF MANUAL
CHAPTER 14—EXCEPTION PROCESSING

SECTION 1—INTRODUCTION

The III Program's procedures accommodate NFF processing requirements. This chapter describes errors and unusual circumstances that may result from incorrect ten-print submissions sent by NFF states to the III.

Section 2 of this chapter describes FBI procedures for processing ten prints submitted by NFF states.

Section 3 of this chapter describes FBI procedures for processing NFF state record expungements.

Section 4 of this chapter describes FBI procedures for processing incoming deceased messages submitted by NFF states.

Section 5 of this chapter describes FBI procedures for processing consolidations by NFF states.

Section 6 of this chapter describes miscellaneous processing procedures.

SECTION 2—PROCESSING TEN PRINTS SUBMITTED BY NFF STATES

2.1 PROCESSING AN NFF STATE’S SUBSEQUENT TEN PRINT FOR AN NFF RECORD

When an NFF state bureau submits a criminal ten print to the FBI’s CJIS Division that is identified with the state’s NFF record and the SID on the card is the same as the SID indexed in the NFF record, the CJIS Division destroys the ten print and sends to the state one of the following \$.A. messages: \$.A.PES or \$.A.PEM. These messages advise the state that its SID is already established in the III and indicates by message type whether the record is single-source (\$.A.PES) or multi-source (\$.A.PEM). If necessary, these messages may be expanded to identify any agency (maximum of 13) for which a reply is needed.

A sample \$.A.PES/\$.A.PEM message is provided below. The format is essentially the same as \$.A.NPR and \$.A.PIR messages.

```
$.A.PES(orPEM).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/POPI161214SRP0121614.DOA/ 19910108.PREVIOUSLY  
ESTABLISHED SID.ORI/FL0290300,FL0290000.
```

NOTE: If the record was established after July 28, 1999, the FPC Field will be blank. The OAN, OAC, and OCA Fields contain a maximum length of 20 characters.

After verifying the \$.A.PES/PEM message information, the NFF state must generate a CPI message to the FBI for that NFF record.

2.2 PROCESSING AN NFF STATE’S TEN PRINT WHEN THE SID IS INDEXED FOR A DIFFERENT INDIVIDUAL

According to III procedures, when a state’s initial ten print 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 “non-idents” 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 FBI will return manual ten prints of this type to the state bureau with an explanation of the problem. (Prior to returning the hard copy ten print, the FBI ensures that the SID is read and entered as it appears on the ten-print submission). The state bureau must put a correct SID on the ten print, correct the state database, and resubmit the ten prints to the FBI. The \$.A.RPR/RNP messages, which are used to transmit this information, must include the ORIs of the agencies requesting a response. An electronic submission containing this SID error will also generate error

messages transmitted over the CJIS WAN, as shown in Appendix N. The IAFIS error message does not include the ten prints; the NFF state must correct the SID error and resubmit the ten prints.

The contributor will not receive a response unless the NFF state reprocesses the ten print. The NFF state must then provide the contributor with the response.

2.3 PROCESSING AN NFF STATE'S TEN PRINT WHEN THE TEN PRINT IS IDENTIFIED WITH AN NFF RECORD AND THE SID DOES NOT MATCH THE SID IN THE III

When a criminal ten print is identified by the FBI's CJIS Division with the state's NFF record and the SID on the ten print is different than the SID indexed in the NFF record, the III will transmit a \$.A.NMS (Nonmatching SID) message. (If the SID on the ten print is also indexed for a different individual, the III will attach a caveat to the \$.A.NMS message that identifies the other record.) For hard copy ten-print submissions containing this SID error, the CJIS Division will return the ten print to the state bureau and include an explanation of the problem. For electronic ten-print submissions containing this SID error, an error message will also be transmitted over the CJIS WAN, as shown in Appendix M 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 identified the individual from a previous record. The \$.A.NMS message provides the SID on the current criminal ten print as well as the SID indexed in the III for the individual. *The NFF state should resolve the error within 2 business days when notified via a \$.A.NMS message as per the NFF State Qualification Requirements, Section II, Part J.* After the NFF state verifies the consolidation, the NFF state must send a CPI message to the CJIS Division.

2.4 PROCESSING AN NFF STATE'S TEN PRINT SUBMITTED TO UPDATE A FINGERPRINT CLASSIFICATION AND THE TEN PRINT IS NOT IDENTICAL

When an NFF state submits a ten print for updating the National Fingerprint Index and the print is not identical to the record for which the ten print is being submitted, (e.g., existing characteristics are of a lesser quality or contains a new amputation or scar), the CJIS Division will return the ten print to the state bureau and include an explanation. Ten prints submitted electronically containing this error will generate an IAFIS reject message.

SECTION 3—PROCESSING NFF STATE RECORD EXPUNGEMENTS

Under the NFF Program, an NFF state does not send expungement documentation to the FBI for NFF records. When the state record ceases to exist because all of the data are either sealed or expunged, the state should transmit a delete record SID (DRS) 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 ten print. A time delay of an hour or more is built into the process 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 ten prints identified with these records. For many of the records, the FBI has multiple ten prints 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 ten prints are unnecessary. If the FBI receives this type of expungement request, it will return the request to the state bureau.

NOTE: NFF states must continue to send the FBI expungement documentation for their FBI-maintained records. The state should send the documentation to the FBI as soon as possible.

SECTION 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 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 Number, it 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 19991130
END

SECTION 5—PROCESSING FBI RECORD CONSOLIDATIONS BY NFF STATES

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 ten prints and additional information to support the records.

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.

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 record in III. 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 ten prints of the FBI-supported record to the state bureau. The state bureau then can enter the data for the ten prints 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 them to be available to record requestors.

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 advise the state to modify the FBI Number in its files.

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 one 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 one 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 6—MISCELLANEOUS PROCESSING PROCEDURES

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 will still be allowed).

6.2 DISPOSITIONS

An 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 3-4 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.

6.3 CONVERSION OF MANUAL RECORDS TO THE AUTOMATED SYSTEM

When a manual record containing an NFF state's data is converted to an automated record, the FBI becomes responsible for providing this record. However, if the manual record was converted because it was consolidated with an FBI record involving a prior NFF record, the FBI will fax the ten prints to the NFF state. In this scenario, the NFF record becomes the retained record, and the state becomes responsible for the data.

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III/NFF MANUAL
CHAPTER 15—III CRIMINAL HISTORY RECORD SEALING PROGRAM

SECTION 1—INTRODUCTION

Under certain circumstances, an NFF state's entire criminal history record cannot be disseminated for specific purpose code(s). To address this issue, the NFF system contains a feature that sets flags in the III to indicate that the state's history record is sealed. The feature that provides the flags, known as the NFF Sealing Program, is described in this chapter.

The Sealing Program affects NFF states and III states interested in NFF participation. Currently, the Program applies only to NFF states that have a single category of records that may not be disseminated for a specific purpose code(s), i.e., juvenile records not available for noncriminal justice purposes (Purpose Code I). To better define the Sealing Program, this chapter furnishes information on the following topics: system design, record response processing, initial setting and maintenance of sealing status flags, additional system attributes, and the III audit (synchronization) medium record layout.

SECTION 2—NFF SEALING PROGRAM DESIGN

2.1 SYSTEM DESIGN

The NFF Sealing Program system design sets flags in the III when an NFF 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 NFF states 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—to indicate that the state's criminal history record is sealed.

N—to indicate that the state's criminal history record is unsealed.

The NFF sets a seal flag value of Y whenever a state has a criminal history record that is unavailable for dissemination for a specific purpose code(s). The NFF sets a seal flag value of N whenever a state has a criminal history record it can disseminate for all purpose codes. The FBI provides a data field in this system design for use in an update transaction for setting or deleting the seal flag. The Seal Field (SEL) will be followed by a Y or N.

2.2 RECORD RESPONSE PROCESSING

The FBI's CJIS Division uses NFF states' criminal history records instead of FBI Identification Records to process fingerprint submissions. The 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 an NFF state record that contains a seal flag of Y, the CJIS Division will not send a \$.A.CHR (criminal history record request) message to the NFF state for the exempted sealing purpose. For single-source NFF records, the CJIS Division will send the fingerprint contributor a NO RECORD (non-identification) response. For multi-source records, the CJIS Division will send a \$.A.CHR message to all NFF holders of the record other than the sealing state, and the contributor will receive responses from those sources and the FBI Identification Record. The CJIS Division will not send a \$.A.CHR message to the NFF sealing state that will not provide its record for the identified purpose.

When an authorized agency forwards a QH inquiry to the III for a record that contains a 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. An example of the inquiry and response follows:

Example:

2L0112345XXXXHEADER.QH.MT0371212.FBI/9000013.PUR/I.ATN/TEST.

Response:

NL0112345XXXXHEADER
MT0371212
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III)
FOR FBI/9000013.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 respond with 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 NFF sealing state that has the record restricted. The requester will receive a record from only those sources.

2.3 INITIAL SETTING AND MAINTENANCE OF THE SEALING FLAGS

Under the NFF Sealing Program, the CJIS Division sets the SEL flag value to indicate that records in the III (newly established or updated) are available for dissemination. The sealing state then must modify the seal flag when the record is not available for dissemination.

To initially set SEL flags in the III to restrict the dissemination of a sealed record, a state may submit a computer medium of EHN messages. States anticipating becoming a sealing participant should notify the III staff at least 3 months in advance advising the CJIS Division for which purpose code(s) the sealed records can be disseminated. The 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 software change is made, the following single line reject message will result:

"REJECT ORIGINATING AGENCY IS NOT SEAL PARTICIPANT."

After the III sets the initial flags, the state will routinely set or delete SEL flags with online EHN messages. An NFF state will be allowed to set a flag in any record that contains its SID; however, in each case, the NFF state should ensure that the entire state record, not just part of it, is sealed. The NFF 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 ORI, SID, FBI Number, and SEL/Y.

The following EHN message format must be used 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.FL0370100.FL01777559.9003300.  
SEL/Y (EOT)
```

Response:

```
KL01HEADERXXXX01224  
FL0370100  
ACCEPT EHN FOR SID/FL01777559
```

After the NFF state sets the SEL flag, the state may delete the flag by using another EHN message. To cancel a flag using the above example, the state must use an EHN message and change the “SEL/Y” to “SEL/N”.

2.4 ADDITIONAL SYSTEM ATTRIBUTES

Under the Sealing Program, the III will display a seal value of Y or N after the IFS (Identification for Firearms Sales) 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/9003300 1995/03/11  
ROVER,ROVING R M B MI DOB/19571201 HGT/507 WGT/140  
EYE/BLK HAI/BLK  
SMT/SC R ARM SOC/045508551 FPC/CODIMAA151211171913  
ADDITIONAL IDENTIFIERS-  
DOB/19560307 19560702 19450523  
SOC/234523788  
SMT/SC L ARM TAT UL ARM  
AKA/ROVER,ROVING TEST,JANE  
DLU/19950307 DRE/19921222  
III FLAGS/C40  
FL03023443 (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
```

The III also made enhancements to the III \$.A.CON (consolidation) interface and the ACCEPT messages 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 a caveat will be appended 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 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.
```

When a state transmits 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 Sealing Program, the ACCEPT message will include the current SEL status for the record on the last line of the ACCEPT message. An example of this response follows:

MRS Accept Message to Sealing Participant:

```
KL01HEADER111101212  
FL0370100  
ACCEPT SID/FL123456 FOR FBI/9004500  
III RECORD IS SINGLE-STATE  
SEL/N
```

2.5 III AUDIT (SYNCHRONIZATION) MEDIUM RECORD LAYOUT

The III synchronization medium includes the SEL flag as one of the data elements for which it checks for possible discrepancies for the NFF states that participate in the Sealing Program. The SEL status flag is designated in position 86 of the III synchronization record layout for III audit records. The alphabetic character Y is placed in this position if the record is sealed or an alphabetic N if the record is not sealed. III states may ignore this position on the medium. If the sealing state detects a discrepancy in the SEL flag, it must forward an EHN update message to the FBI modifying the flag accordingly.

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III/NFF MANUAL
CHAPTER 16—WANTED PERSON AND SEXUAL OFFENDER INFORMATION
AND FLASH NOTICES

SECTION 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 NFF states. In addition, this chapter addresses how adding a sexual offender registration changes a III criminal history record.

Section 2 describes the procedures for processing wanted person information for both III and NFF states.

Section 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 4 describes the procedures for processing Flash Notices, which affect only NFF participating states.

SECTION 2—PROCESSING WANTED PERSON INFORMATION

When an authorized agency needs to enter a wanted person record containing an FBI Number into the NCIC or when an agency adds an FBI Number to an existing wanted person record, the agency must add the wanted person information to the III database via an online interface with the NCIC. Likewise, an authorized agency must also process cancellations of wanted person records via the online interface.

When an agency requests a criminal history record via the III, the III will provide the wanted person information on the FBI Identification Record. If an agency enters want information to an existing single-source record, the record becomes multi-source.

When the IAFIS identifies a ten-print submission with a record containing active wanted person data, the III will notify the wanting and arresting agencies immediately via the NLETS. The FBI provides to the ten print contributor a copy of the FBI Identification Record containing the wanted person data.

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 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 3—SEX OFFENDER NOTIFICATION IN CRIMINAL HISTORY RECORDS

When an individual is registered as a sexual offender in the NCIC, the agency entering the information must forward a system message to the III containing the registrant's information, and the III will append this information to its database. Like wanted information, the addition of Sexual Offender Registration (SOR) information changes a single-source record to multi-source, and, therefore, a \$.A.MSO message will be sent to the III/NFF state holder of the record. Likewise, when an SOR notification expires, a \$.A.SSO message will be sent to the single-source holder of the record.

SECTION 4—PROCESSING FLASH NOTICES

Flash Notices are established based on requests from federal, state, county probation and parole authorities, pretrial diversion coordinators and other criminal justice agencies. These authorities submit a flash request form when they want 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 Number be included on the form. If the FBI Number is not known, the contributor must attach a completed criminal ten print. 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 ten print with a record containing a Flash Notice, the FBI will mail a copy of the FBI Identification Record to the agency that submitted the Flash Notice. If the ten-print contributor indicates that a copy of the record should be provided, the FBI will mail the FBI Identification Record to the agency.

Under the NFF Program, the FBI cannot process a Flash Notice from an NFF state because there is no matching DOA on file. 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 FBI Identification Record.

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III/NFF MANUAL
CHAPTER 17—FILE AUDITS

SECTION 1—INTRODUCTION

This chapter furnishes information about the synchronization audit process for III and state files. III synchronization audits conducted by a state participating in the III continue when the state becomes an NFF participant. Refer to Chapter 4, Section 4, of this manual for information on the III synchronization audit process. Section 2 of this chapter provides information on the audit process which is specific to states participating in the NFF.

SECTION 2—FREQUENCY OF SYNCHRONIZATION AUDITS

As discussed in Chapter 4, Section 4, of this manual, synchronization audits of the III and state files are conducted twice a year, and states may opt to perform two additional audits per year. Conducting the two additional audits is a significant quality control feature that is recommended by the FBI's CJIS Division for all states participating in the III and NFF Programs, 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 FBI's CJIS Division Audit Staff verifies a sampling of discrepancies from the prior two audits to ensure all prior discrepancies have been resolved by the NFF state.

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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 a message field code (MFC) is used, it must be followed by a slash (/).
2. A period (.) must be used to end each data field in the message except 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, it must never be used within a data field.

FIELD EDIT SPECIFICATIONS

- ADR** **Address**—The Mailing Address Field (street address or post office box) is optional for QR record request messages. When the ADR Field is used, it must contain 3 to 30 alphabetic, numeric, and/or special characters, and it must be used 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). A maximum of 99 AKAs are allowed in a III record. 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.
- ATN** **Attention**—The Attention Field is required for QR record request messages and is optional for QH inquiry messages. It must contain 3 to 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).
- BLD** **Building**—The Building Field is optional for QR record request messages; however, when it is used, it must contain 3 to 30 alphabetic, numeric, and/or special characters.
- CIS** **City and State**—The City and State Field is optional for QR record request messages; however, when it is used, it must contain 4 to 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. The CIS Field must be used in conjunction with the DPT, ADR, and ZIP MFCs.

- 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 8 character DOA in a CCYYMMDD format. However, there are occasions when a subject is arrested more than once on a given day or when 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. (More information concerning the valid alphabetic characters and their definitions are furnished in Chapter 3, Section 5, of this manual.)
- DOB** **Date of Birth**—The Date of Birth Field must contain 8 numeric characters in a CCYYMMDD format. The 2 characters designating the month must be in the range of 01 to 12. The two characters designating the day must be at least 01 and cannot exceed the maximum days for the given month. The year of birth cannot make the person less than 8 or more than 98 years of age.
- DPT** **Department**—The Department Field is optional for QR record request messages. However, when this field is filled, it must contain 3 to 30 alphabetic, numeric, and/or special characters. The DPT Field must be used 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 the DTE is provided, the field must consist of 8 numeric characters in the CCYYMMDD format.
- FBI** **FBI Number**—The FBI Number Field may consist of 1 to 9 alphabetic or numeric characters. The various formats for an FBI Number and the check-digit calculation routine are explained in Appendix H of this manual.
- FII** **Fingerprint Identification Indicator**—The Fingerprint Identification Indicator Field is a fixed-length, 20-character field used by an agency to report the death of a subject. This field 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 the record was established 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 CTA. 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 4 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 message header in the response will be left-justified, and padded with blanks to create 19 characters.
- IFS Identification for Firearms Sales**—The Identification for Firearms Sales Field must contain a D (disqualification), C (no disqualification), or X (unknown).
- MNU Miscellaneous Identification Number**—The Miscellaneous Identification Number Field must contain 4 to 15 characters. 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 dash (-). 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
CG	U.S. Coast Guard Serial Number
CI	Canadian Social Insurance Number
MC	Marine Corps Serial Number
MD	Mariner’s Document or Identification Number
MP	Royal Canadian Mounted Police Identification or Fingerprint Section (FPS) 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.

A maximum of 9 supplemental MNUs are allowed in a III record.

NOTE: The FBI's CJIS Division uses the 2-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. However, if an NA number is in a III record, it is counted toward the maximum number of MNUs allowed. When a state receives a reject EXCESSIVE FIELD MNU response to an EHN update message, the presence of the NA number could be the reason. To determine if this is the case, the state should send a ZI inquiry message to the III. (More information about the EHN update message and the ZI inquiry message are furnished in Appendix C and Chapter 2, respectively, of this manual.)

NAM **Name**—The Name Field must contain 3 to 30 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 through 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 3 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 10-character field. (More information on this field is furnished in Appendix G of this manual.)
- OAC** **Originating Agency City**—The Originating Agency City Field must contain 1 to 20 alphabetic or numeric characters.
- OAN** **Originating Agency Name**—The Originating Agency Name Field must contain 1 to 20 alphabetic or numeric characters.
- OCA** **Originating Agency Case**—The Originating Agency Case Number must contain 1 to 20 alphabetic, numeric, and/or special characters.
- ORI** **Originating Agency Identifier**—The Originating Agency Identifier Field is a 9-character alphanumeric code assigned to an agency that has met the established qualifying criteria for ORI assignment. It is used to identify an authorized agency when the agency performs III transactions. The structure and use of ORIs are provided in the ORI File chapter of the *NCIC Operating Manual* (December 1999).
- ORT** **Inquiring Agency Translation**—The Inquiring Agency Translation Field provides the literal translation of a III ORI (1-50 characters).
- PUR** **Purpose Code**—The Purpose Code Field is a 1-character alphabetic field required for QH, QR, and ZI messages and optional for ZR and ZRS messages. There are 10 alphabetic characters available for use in the III. (Purpose code definitions are provided in Chapter 2 of this manual.) 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*, V*, 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 Number or SID Number.

RAC	Race —The Race Field consists of a 1-character alphabetic field. (Race code definitions are furnished in Chapter 2 of this manual.)
SEL	Seal —The Seal Field consists of a 1-character alphabetic field that must contain either a Y or N.
SEX	Sex —The Sex Field consists of a 1-character alphabetic field that must contain one of the following: M (male), F (Female), or X (unknown).
SID	State Identification Number —The State Identification Number Field must contain 3 to 10 alphabetic, numeric, and/or special characters. The first 2 characters must be a valid state code. Imbedded blanks are not permitted.
SMT	Scars, Marks, and Tattoos —The Scars, Marks, and Tattoos Field is a 10-character alphabetic field. The SMT codes available for use in the III are identified in the <i>NCIC 2000 Code Manual</i> (December 2000). A maximum of 9 supplemental SMTs are allowed in a III record.
SOC	Social Security Number —The Social Security Number Field is a fixed-length, 9-character numeric field. Any 9-digit numeric combination is acceptable except 123456789, 000000000, or 999999999. The SOC in a QH inquiry message or EHN update message cannot contain hyphens (-). A maximum of 9 supplemental SOC's are allowed in a III record.
TME	Time Inquiry —The Time Inquiry Received Field is a fixed-length, 4-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, 3-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 Number or SID Number.
- XPL** **Explanation**—The Explanation Field is a variable length, 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 Number Expunged) message when the FBI temporarily or permanently deletes a record. Additionally, an XPL Field will be appended to a \$.A.DEC (deceased) unsolicited message when the FBI's CJIS Division "deceases" 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 5 or 9 numeric characters. When the ZIP in a QR record request message contains 9 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. When a ZIP is used, it must be used in conjunction with the DPT, ADR, and the CIS MFCs.

III/NFF MANUAL
APPENDIX B
III BASIC TECHNICAL INFORMATION

MULTITHREADING CONFIGURATION OF THE III DATABASE

The III operates in a “multithreaded” environment whereby multiple messages may be processed 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 IAFIS environment. If necessary, the number of threads can be increased or decreased to improve performance. One thread is used for processing maintenance messages (DEC, DRS, EHN, MRS, XHN) from III state agencies, and multiple threads are used for processing inquiry messages (QH, QR, ZI, ZR, ZRS). With this configuration, maintenance messages are processed one at a time in the order they are received. Additionally, many inquiry messages can be processed simultaneously. Responses are returned in the order they are completed—not necessarily in the order they are received.

Systems interfaced with the 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 Identification 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 may be used in III inquiries, record requests, and maintenance messages. To create 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 (+).

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 MFCs, and alphabetic positions in alphanumeric fields (2-character state codes in the ORI and SID Fields, etc.) will contain alphabetic characters. This procedure 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 rejects the message as a header error, i.e., REJ HEADER ERR.

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APPENDIX C
REJECT MESSAGES

INTRODUCTION

A reject message transmitted by the III is a response that informs 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 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 re-transmits 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 QH.FBI/9000001.PUR/K.ATN/HAMMER
FOR THE FOLLOWING REASON(S)
FIELD ERROR PUR
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 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).
4. **FOR THE FOLLOWING REASON(S)**—This line, which will always begin on the line succeeding the REJECT line, introduces the list of errors in the MLRM.
5. **FIELD ERROR PUR**—This line identifies and specifies the errors contained in the sending agency's message. A maximum of 10 errors can be listed in this line for an MLRM.
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 MFC.

1. **DUPLICATE FIELD XXX**—This error message indicates that the same MFC appears more than once in the transaction.
2. **EXCESSIVE FIELD XXX**—This error message indicates that the EHN or the XHN maintenance message contains more than 9 supplemental identifiers or the number of supplemental identifiers, when added to the number of identifiers already in the III record for that field, exceed the maximum allowed.
3. **FBI/(FBI NUMBER) NOT ON FILE**—This error message indicates that the FBI Number used in the transaction is not indexed in the III.
4. **FIELD ERROR XXX**—This error message indicates that the data in the field identified by the MFC does not match the criteria for that field. (Field edit specifications are provided in Appendix A of this manual.)
5. **INCOMPLETE DOB NOT ALLOWED**—This error message indicates that the QH inquiry contains an incomplete date of birth.
6. **INVALID MFC**—This error message indicates that the transaction contains: (a) an invalid or wrong MFC, (b) the MFC does not agree with the message key used, (c) the MFC is not followed by a slash, or (d) a period is erroneously included within a data field.

7. **INVALID PUR**—This error message indicates that the QH or QR message was received from an authorized agency that is not allowed access for PUR/S (national security purposes).
8. **MISSING DATA**—This error message indicates that the field identified by the MFC was left blank in the transaction.
9. **NOT AUTHORIZED**—This error message indicates that an agency that has authorized III access has transmitted a QH or QR message containing a purpose code that it is not authorized to use.
10. **RECORD NO LONGER ON FILE—CONSOLIDATED WITH FBI/(FBI NUMBER) (DATE)**—This error message indicates that an attempt was made to update a III record that is no longer on file due to its consolidation with another record.
11. **RECORD NO LONGER ON FILE—DECEASED PER (AGENCY AND DATE)**—This error message indicates that an attempt was made to update a III record that has been purged because the record subject is deceased.
12. **RECORD NO LONGER ON FILE—DELETED (DATE)**—This error message indicates that an attempt was made to update a III record that has been deleted.
13. **RECORD NO LONGER ON FILE—EXPUNGED (DATE)**—This error message indicates that an attempt was made to update a III record that has been expunged from the III.
14. **SID NOT ON FILE—DECEASED (DATE)**—This error message indicates that an attempt was made to update an active III record; however, the SID Number used in the incoming message has been deceased.
15. **SID NOT ON FILE—EXPUNGED (DATE)**—This error message indicates that an attempt was made to update an active III record; however, the SID Number used in the incoming message has been expunged.
16. **SID ON FILE FOR FBI/(FBI NUMBER)**—This error message indicates that an attempt was made to add a SID Number that is already on file in the same or a different FBI Number or to modify a SID Number to the same value as one already on file. The FBI Number shown will be the FBI Number corresponding to the SID Number that is already on file.
17. **SID OR FBI NUMBER REQUIRED FOR PUR/I**—This error message indicates that a QH inquiry containing PUR/I did not contain a SID Number or FBI Number.
18. **SUPPLEMENTAL IDENTIFIERS CANNOT BE DELETED FROM MULTISTATE RECORD**—This error message indicates that a designated state agency is attempting to cancel a supplemental identifier (XHN cancellation message) from a multi-source record.

19. **SUPPLEMENTAL IDENTIFIER NOT ON FILE**—This error message indicates that the supplemental identifier in the XHN cancellation message is not on file in the record. When an XHN cancellation message contains multiple supplemental identifiers, those that are on file will be removed (provided the record is single-source and the state sending the XHN cancellation message is the state of record).
20. **WRONG, MISSING, OR EXCESSIVE SEARCHABLE IDENTIFIER**—This error message will be transmitted when one of the following exists:
- a. The DOB was used as an identifier in a maintenance message in place of the state's SID Number that is in the III record.
 - b. A required searchable identifier was missing from the inquiry or record request transaction.
 - c. An excessive searchable identifier was used in the inquiry or record request (e.g., a QR message containing both the FBI Number and the SID Number).
21. **XXX NOT ON FILE FOR THIS RECORD**—This error message indicates that the DOB or SID Number used as the record identifier in the maintenance message is not on file in the III for the FBI Number in the transaction.
22. **XXX ON FILE AS BASE XXX**—This error message indicates that the AKA and/or DOB to be canceled by the XHN cancellation message are the same as the master NAM and/or DOB in the III record.

SINGLE-LINE REJECT MESSAGES (SLRM)

The SLRM is a single-line response informing the sending agency that the III has rejected its message and showing the reason for the error 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

1. **REJECT COMPUTER ERROR—CONTACT NCIC**—This error message indicates that a software error, database integrity error, or file problem prevents the IAFIS from completely processing the message.
2. **REJECT EQUIPMENT PROBLEM—RESEND MESSAGE**—This error message indicates a hardware failure. The originating agency should resend the message.
3. **REJECT HEADER ERROR**—This error message indicates the first 4 characters of the header are other than “2L01”, the header contains less than 9 or more than 19 characters, or the header contains an invalid character(s), e.g., “?”.
4. **REJECT III FILE IN RESTRICTED SERVICE UNTIL XXX EST. WATCH FOR FULL SERVICE MESSAGE**—This error message indicates that a transaction other than a QH, QR, ZI, ZR, and ZRS message was transmitted while the III was in restricted service.
5. **REJECT III FILE OUT OF SERVICE**—This error message indicates that a transaction was transmitted while the III was out of service.
6. **REJECT INSUFFICIENT DATA**—This error message indicates that the maintenance message does not contain the MFC and field data to be added, modified, or deleted.
7. **REJECT INVALID ORIGINATING AGENCY IDENTIFIER**—This error message indicates that the originating agency does not match the edit criteria. (Information concerning ORI edits can be found in the ORI File chapter of the *NCIC 2000 Operating Manual*.)
8. **REJECT MESSAGE KEY ERROR**—This error message indicates that the incoming message does not contain a message key or contains an invalid message key.
9. **REJECT NOT AUTHORIZED**—This error message indicates one of the following reasons:
 - a. An unauthorized agency has attempted to access the III.
 - b. An authorized agency has attempted to update a III record before the submission of the fingerprints adding its SID Number to the record.

- c. A maintenance message was received from an agency other than the authorized state agency in a III state.
- d. A QH, ZI, ZR, ZRS, or QR transaction containing Purpose Code A has been received from an agency other than the authorized state agency in a III state.
- e. An authorized state agency has used Purpose Code A to obtain a III record, and no pointer is indexed for the state.

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APPENDIX D
III SINGLE-SOURCE/MULTI-SOURCE TEST RECORDS

The following table presents test record information for the FBI and all III states and territories.

STATE/ TERRITORY	TYPE OF TEST RECORD	DESCRIPTION
<i>Revised October 18, 2005</i>		
Alabama	Single-Source	FBI/9666000.NAM/RECORD, TEST A.SEX/M.RAC/W. DOB/19440101.SID/AL000000001
	Multi-Source	FBI/9777700.NAM/DUCK, DAISY A.SEX/F.RAC/W. DOB/19760704.SID/AL000000002
Alaska	Single-Source	FBI/9027000.NAM/QTEST, EUGENE C.SEX/M. RAC/W.DOB/19470611.SID/AK00999663
	Multi-Source	FBI/9005500.NAM/QTEST, EUGENE D.SEX/M. RAC/W.DOB/19550511.SID/AK00999664
American Samoa*	Single-Source	FBI/9054000.NAM/FACE, SCAR.SEX/M.RAC/A. DOB/19780706.SID/AMQ03053
	Multi-Source	FBI/9009800.NAM/ACME, MARVIN.SEX/M.RAC/W. DOB/19580726.SID/AMQ04014
Arkansas	Single-Source	FBI/9029000.NAM/TOUCHDOWN, SUE.SEX/F.RAC/W. DOB/19600101.SID/AR627392
	Multi-Source	FBI/9028100.NAM/RAZORBACK, JOHN.SEX/M.RAC/W. DOB/19400101.SID/AR627391
Arizona	Single-Source	FBI/9005000.NAM/BATMAN, TEST.SEX/M.RAC/W. DOB/19550505.SID/AZ00009997
	Multi-Source	FBI/9008800.NAM/TEST, RECORD.SEX/M.RAC/W. DOB/19500322.SID/AZ00009903
California	Single-Source	FBI/9001000.NAM/XRAY, TEST.SEX/M.RAC/W. DOB/19540119.SID/CA99000015
	Multi-Source	FBI/9001100.NAM/TEST, JOSEPH T.SEX/M.RAC/W. DOB/19521005.SID/CA99000020
Colorado	Single-Source	FBI/9002000.NAM/LAST, FIRST MIDDLE.SEX/M. RAC/W.DOB/19400101.SID/COTEST
	Multi-Source	FBI/9002200.NAM/TESTRECORD, JOHN DAVID. SEX/M.RAC/B.DOB/19550103.SID/CO665553

*III Testing

Connecticut	Single-Source	FBI/9025000.NAM/TEST, SINGLE. SEX/F. RAC/W. DOB/19600501. SID/CT00373238
	Multi-Source	FBI/9001100.NAM/TEST, JOSEPH. SEX/M. RAC/W. DOB/19521005. SID/CT00387796
Delaware	Single-Source	FBI/9024000.NAM/TEST, JUST. SEX/M. RAC/W. DOB/19550505. SID/DEJ0999988
	Multi-Source	FBI/9002200.NAM/TESTRECORD, JOHN. SEX/M. RAC/W. DOB/19540103. SID/DEJ0999977
District of Columbia*	Single-Source	FBI/9053000.NAM/PANN, PETER JR. SEX/M. RAC/W. DOB/19601102. SID/DC00888000
	Multi-Source	FBI/9005500.NAM/COOKE, CAPTAN. SEX/M. RAC/W. DOB/19780808. SID/DC00888008
Federal	Single-Source	FBI/9039000.NAM/KILLER, COPY CAT. SEX/F. RAC/B. DOB/19680822. SID/US**082268
	Multi-Source	FBI/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/9051000.NAM/LUTHER, LESLIE. SEX/M. RAC/W. DOB/19581002. SID/US**100258 FBI/9052000.NAM/EDWARDS, ELVIS D. SEX/M. RAC/W. DOB/19590701. SID/US**070159
Florida	Single-Source	FBI/9003000.NAM/PUBLIC, SUSIE Q. SEX/F. RAC/W. DOB/19570812. SID/FL01776048
	Multi-Source	FBI/9003300.NAM/PUBLIC, CARL C. SEX/M. RAC/W. DOB/19560524. SID/FL01777559
Georgia	Single-Source	FBI/9004000.NAM/TESTRECORD, GIACOMO ALONZO. SEX/M. RAC/W. DOB/19350228. SID/GA00844902
	Multi-Source	FBI/9004400.NAM/RECORD, PAUL UNIQUE. SEX/M. RAC/B. DOB/19540710. SID/GA00844903
Guam	Single-Source	
	Multi-Source	
Hawaii	Single-Source	FBI/9049000.NAM/TEST, JOHN HAWAII. SEX/M. RAC/W. DOB/19561114. SID/HIA2225570
	Multi-Source	FBI/9222200.NAM/TEST, JANE HAWAII. SEX/F. RAC/A. DOB/19780517. SID/HIA5873165

*III Testing

Idaho	Single-Source	FBI/9021000.NAM/TEST, IMA. SEX/M. RAC/W. DOB/19550505.SID/ID00998877
	Multi-Source	FBI/9003300.NAM/PUBLIC, CARL C. SEX/M. RAC/W. DOB/19560524.SID/ID00500028
Illinois	Single-Source	FBI/9030000.NAM/ILLINOIS, TEST S. SEX/F. RAC/B. DOB/19600101.SID/IL00002700
	Multi-Source	FBI/9007700.NAM/TEST, ILLINOIS. SEX/F. RAC/B. DOB/19500202.SID/IL00002710
Indiana	Single-Source	FBI/9036000.NAM/TEST, SUSIE Q. SEX/F. RAC/B. DOB/19710105.SID/IN00000999
	Multi-Source	FBI/9008800.NAM/RECORD, TEST TWO. SEX/M. RAC/W. DOB/19500322.SID/IN00000002
Iowa	Single-Source	FBI/9035000.NAM/IOWADCI, TEST. SEX/M. RAC/W. DOB/19400101.SID/IA00514167
	Multi-Source	FBI/9009800.NAM/IADPS, TEST. SEX/M. RAC/W. DOB/19410101.SID/IA00514173
Kansas	Single-Source	FBI/9040000.NAM/PUBLIC, JOHN Q. SEX/M. RAC/W. DOB/19741012.SID/KS09900252
	Multi-Source	FBI/9777700.NAM/ZXAMPLE, BARBARA JEAN. SEX/F. RAC/W. DOB/19501105.SID/KS09900253
Kentucky	Single-Source	FBI/9048000.NAM/JONES, DOUGLAS. SEX/M. RAC/W. DOB/19731121.SID/KY00111111
	Multi-Source	FBI/9444400.NAM/DUMMY, TEST. SEX/M. RAC/W. DOB/19310101.SID/KY01030175
Louisiana	Single-Source	FBI/9047000.NAM/TESTING, CASE. SEX/M. RAC/B. DOB/19420608.SID/LA2225636
	Multi-Source	FBI/9222200.NAM/CASE, TEST. SEX/F. RAC/W. DOB/19771006.SID/LA2225635
Maine*	Single-Source	FBI/9050000.NAM/LOBSTER, TEST. SEX/M. RAC/W. DOB/19560811.SID/ME000TEST1
	Multi-Source	FBI/9777700.NAM/DUCK, DAISY. SEX/F. RAC/W. DOB/19670107.SID/ME000TEST2
Maryland	Single-Source	FBI/9009000.NAM/TEST, RECORD. SEX/F. RAC/W. DOB/19470207.SID/MD01087845
	Multi-Source	FBI/9009800.NAM/TEST, NEW RECORD. SEX/M. RAC/W. DOB/19411124.SID/MD01380467

*III Testing

Massachusetts	Single-Source	FBI/9046000.NAM/KENDRICK, JOSEPH P. SEX/M.RAC/B.DOB/19750803.SID/MA99999999
	Multi-Source	FBI/9008800.NAM/HARRIS, BOBBY V. SEX/M.RAC/A.DOB/19681023.SID/MA99999998
Michigan	Single-Source	FBI/9006000.NAM/JACK, JUMPING JIM.SEX/M. RAC/W.DOB/19430907.SID/MI0000496E
	Multi-Source	FBI/9006600.NAM/ROVER, ROVING R.SEX/M. RAC/B.DOB/19571201.SID/MI0000495X
Minnesota	Single-Source	FBI/9008000.NAM/TEST, JOHN D. SEX/M.RAC/W.DOB/19470427.SID/MN82009699
	Multi-Source	FBI/9002200.NAM/TESTRECORD, JOHN D.SEX/M. RAC/B.DOB/19540103.SID/MN82009700
Mississippi	Single-Source	FBI/9037000.NAM/ANTHONY, DIXON.SEX/M.RAC/B. DOB/19740724.SID/MS99999994
	Multi-Source	FBI/9008800.NAM/ARNULFO, ARREOLA.SEX/M. RAC/A.DOB/19680924.SID/MS99999986
Missouri	Single-Source	FBI/9022000.NAM/RECORD, ROY A.SEX/M.RAC/W. DOB/19341130.SID/MO00000001
	Multi-Source	FBI/9004400.NAM/RECORD, PAUL U.SEX/M.RAC/B. DOB/19540710.SID/MO00000002
Montana	Single-Source	FBI/9026000.NAM/TEST, RECORD.SEX/M.RAC/W. DOB/19500101.SID/MT00027061
	Multi-Source	FBI/9006600.NAM/TEST, TEST TEST.SEX/M. RAC/W.DOB/19470101.SID/MT00027062
Nebraska	Single-Source	FBI/9041000.NAM/DUCK, DONALD DAH.SEX/M. RAC/W.DOB/19650406.SID/NB50000000
	Multi-Source	FBI/9777700.NAM/DUCK, DAISY DAH.SEX/F. RAC/W.DOB/19670701.SID/NB70000000
Nevada	Single-Source	FBI/9032000.NAM/NEVADA, TEST P.SEX/M.RAC/W. DOB/19500107.SID/NV01144216
	Multi-Source	FBI/9007700.NAM/CASINO, NEVADA G.SEX/M. RAC/W.DOB/19500101.SID/NV01144220
New Hampshire	Single-Source	FBI/9034000.NAM/PUBLIC, JOHN Q.SEX/M.RAC/W. DOB/19490101.SID/NH499998
	Multi-Source	FBI/9009800.NAM/MCPUBLIC, RONALD R.SEX/M. RAC/W.DOB/19590202.SID/NH499999

*III Testing

New Jersey	Single-Source	FBI/9010000.NAM/TEST, RECORD.SEX/M.RAC/W. DOB/19490707.SID/NJ1111
	Multi-Source	FBI/9004400.NAM/RECORD, PAUL U.SEX/M.RAC/B. DOB/19540710.SID/NJ1111A
New Mexico	Single-Source	FBI/9007000.NAM/FARR, THOMAS.SEX/M.RAC/W. DOB/19610101.SID/NM63535
	Multi-Source	FBI/9444400.NAM/HUCK, BRAD.SEX/M.RAC/I. DOB/19640101.SID/NM63536
New York	Single-Source	FBI/9011000.NAM/SINGLETON, SUSAN.SEX/F. RAC/W.DOB/19530315.SID/NY5015488L
	Multi-Source	FBI/9003300.NAM/PUBLIC, CARL C.SEX/M.RAC/W. DOB/19560524.SID/NY5870633R
	Multi-Source	FBI/9005500.NAM/HARRY, TOM DICK.SEX/M. RAC/W.DOB/19550920.SID/NY5015487N
North Carolina	Single-Source	FBI/9012000.NAM/FIDO, FRED L.SEX/M.RAC/W. DOB/19560921.SID/NC0999961A
	Multi-Source	FBI/9006600.NAM/ROVER, ROVING.SEX/M.RAC/W. DOB/19571201.SID/NC0999960A
North Dakota	Single-Source	FBI/9033000.NAM/ROOSEVELT, TEDDY.SEX/M. RAC/W.DOB/19331002.SID/ND104752
	Multi-Source	FBI/9007700.NAM/SYSTEM, TEST RECORD.SEX/M. RAC/B.DOB/19400101.SID/ND83417
Northern Mariana Islands	Single-Source	
	Multi-Source	
Ohio	Single-Source	FBI/9018000.NAM/PUBLIC, JOHN Q.SEX/M.RAC/W. DOB/19461231.SID/OHA123456
	Multi-Source	FBI/9006600.NAM/PUBLIC, JOHN.SEX/M.RAC/B. DOB/19451231.SID/OHA000004
Oklahoma	Single-Source	FBI/9020000.NAM/TEST, OKLAHOMA.SEX/M. RAC/W.DOB/19600101.SID/OK00000592
	Multi-Source	FBI/9028100.NAM/TESTTWO, OKLAHOMA.SEX/F. RAC/W.DOB/19500101.SID/OK00123456
Oregon	Single-Source	FBI/9019000.NAM/TEST, RECORD IMA.SEX/F. RAC/W.DOB/19570909.SID/OR09999962
	Multi-Source	FBI/9001100.NAM/TEST, JOSEPH T.SEX/M.RAC/W. DOB/19521005.SID/OR09999970

*III Testing

Pennsylvania	Single-Source	FBI/9013000.NAM/TEST, THOMAS JOSEPH. SEX/M. RAC/W. DOB/19440825. SID/PA80003048
	Multi-Source	FBI/9001100.NAM/TEST, JOSEPH THOMAS. SEX/M. RAC/W. DOB/19521005. SID/PA80004036
Puerto Rico	Single-Source	
	Multi-Source	
Rhode Island	Single-Source	FBI/9045000.NAM/RECORD, ROBERT TEST. SEX/M. RAC/W. DOB/19781101. SID/RI09999991
	Multi-Source	FBI/9222200.NAM/TEST, JANE M. SEX/F. RAC/W. DOB/19500101. SID/RI09999992
South Carolina	Single-Source	FBI/9014000.NAM/TESTING, JANE BAKER. SEX/F. RAC/W. DOB/19530508. SID/SC99999979
	Multi-Source	FBI/9002200.NAM/TESTRECORD, JOHN D. SEX/M. RAC/B. DOB/19540103. SID/SC99999978
South Dakota	Single-Source	FBI/9023000.NAM/TEST, RECORD. SEX/F. RAC/W. DOB/19700412. SID/SD200324AB
	Multi-Source	FBI/9028100.NAM/RECORD, TEST. SEX/M. RAC/W. DOB/19430802. SID/SD222151A3
Tennessee	Single-Source	FBI/9044000.NAM/FLINTSTONE, PEBBLES. SEX/F. RAC/W. DOB/19650301. SID/TN09876542
	Multi-Source	FBI/9222200.NAM/JETSON, JANE. SEX/F. RAC/W. DOB/19620106. SID/TN09876543
Texas	Single-Source	FBI/9015000.NAM/RECORD, WILLIAM TEST. SEX/M. RAC/W. DOB/19400611. SID/TX02949402
	Multi-Source	FBI/9003300.NAM/PUBLIC, CARL. SEX/M. RAC/W. DOB/19560524. SID/TX03077227
Utah	Single-Source	FBI/9088000.NAM/TESTER, ELROY JOE. SEX/M. RAC/W. DOB/19501011. SID/UT00501501
	Multi-Source	FBI/9007700.NAM/MORE, C TEST. SEX/M. RAC/B. DOB/19620512. SID/UT00502502
Vermont*	Single-Source	FBI/9043000.NAM/TEST, JOHN JAMES JR. SEX/M. RAC/W. DOB/19500101. SID/VT9999997
	Multi-Source	FBI/9222200.NAM/TEST, JANE MARIE. SEX/F. RAC/W. DOB/19500101. SID/VT9999998

*III Testing

Virginia	Single-Source	FBI/9016000.NAM/TESTDOE, JOHN Q. SEX/M. RAC/W. DOB/19601106. SID/VA557462
	Multi-Source	FBI/9004400.NAM/RECORD, PAUL U. SEX/M. RAC/B. DOB/19540710. SID/VA557463
Virgin Islands	Single-Source	
	Multi-Source	
Washington	Single-Source	FBI/9028000.NAM/WASHINGTON, IIITEST. SEX/M. RAC/W. DOB/19500101. SID/WA10150089
	Multi-Source	FBI/9028100.NAM/WASHINGTON, TESTIII. SEX/M. RAC/W. DOB/19600101. SID/WA10150096
West Virginia	Single-Source	FBI/9038000.NAM/PUBLIC, JOHN Q. SEX/M. RAC/W. DOB/19601212. SID/WV642629
	Multi-Source	FBI/9444400.NAM/HUCK, BRAD. SEX/M. RAC/I. DOB/19640101. SID/WV676323
Wisconsin	Single-Source	FBI/9042000.NAM/MOSES, HOLIE. SEX/M. RAC/U. DOB/19450101. SID/WI46163
	Multi-Source	FBI/9444400.NAM/CAT, SYLVESTER T. SEX/M. RAC/U. DOB/19640101. SID/WI415506
Wyoming	Single-Source	FBI/9017000.NAM/TESTA, IRA A. SEX/M. RAC/W. DOB/19600107. SID/WY0034525
	Multi-Source	FBI/9005500.NAM/HARRY, TOM DICK. SEX/M. RAC/W. DOB/19550920. SID/WY0016752

*III Testing

III/NFF MANUAL
APPENDIX E
NONSERIOUS OFFENSES LIST

As stated in the Code of Federal Regulations 28, Part 20, the FBI's CJIS Division currently does not retain fingerprint submissions for nonserious offenses. The following is a list of some of the charges for which the FBI's CJIS Division does not retain fingerprints. This list is not all-inclusive; other charges similar in nature may not appear on this list.

Abusive language
Alms solicitation
Amnesia
Begging
Breach of peace
Card game playing
Careless or reckless driving—(Provided that driving under influence of drugs or liquor, hit and run, vehicular manslaughter, involuntary manslaughter or manslaughter is *not* involved.)
Civil commitment
Curfew registration
Detention only
Detoxification
Dice game playing
Disregarding traffic signals
Disturbance
Disturbing public worship
Disturbing the peace
Dog laws—(no leash, no license, etc.)
Drag racing
Driving while license suspended or revoked
Drunk—(not traffic charge)
Drunk in or about auto
Drunk in public restroom or restaurant
Drunk on highway
Ex-convict registration
Failure to give good account
Failure to identify
Failure to operate in prudent manner (auto)
Failure to register in hotel or register in hotel with someone other than husband or wife
Failure to yield for emergency vehicle, blue light, or siren
Felony registration
Fishing without a license
For identification purposes
General principles
Going through a red light
Hitchhiking

Illegal consumption of beer
Illegal possession of beer
Inadequate brakes
Inquiry
Interview
Intoxication
Investigation—(unaccompanied by criterion charge)
Investigation—mental
Jaywalking
Juvenile charge¹
Juvenile commitment¹
Juvenile offender¹
Late hours
Loafer
Lodger
Loitering
Lottery playing
Lunacy—(unaccompanied by criterion charge)
Mandatory appearance—(accompanied by non-criterion charge)
Material witness
Medical treatment
Mental
Minor in bar
Minor in consumption
Minor in gambling house
Minor in possession of alcohol
Mooching
Narcotics registration
Negligent driving
No driver's license—(Operating auto with altered license is considered a serious charge.)
No inspection sticker or expired sticker
No visible means
Obstructing traffic
Operating auto without license
Panhandling
Parking warrants
Patient
Peace bond
Peace warrant
Possession of lottery tickets, policy slips, or numbers
Possession of open bottle or container

¹ Juvenile arrests (charges) will be accepted as long as the offense for which the juvenile is charged or detained is clearly stated, e.g., “juvenile arrests—burglary”.

Probation or parole check
Profane language
Public intoxication
Purchasing liquor as a minor
Rebooked on suspicion
Runaway
Safekeeping—(unaccompanied by criterion charge)
Sex registration
Sleeper
Sleeping in a subway
Speeding
State work furlough
Suspect—(unaccompanied by criterion charge)
Suspicion—(unaccompanied by criterion charge)
Suspicious person—(unaccompanied by criterion charge)
Traffic violations—(minor traffic, vehicle, and licensing charges)
Train riding—(hobo)
Tramp
Transient
Truancy
Trusty commitment
Uninsured motor vehicle
Unlawful blood alcohol content or count—(alone only—not with driving charges)
Urinating in public
Vagabond or rogue
Vagrancy
Venereal control registration
Voluntary commitment
Walking on highway
Wayward

III/NFF MANUAL
APPENDIX F
III RECORD MEDIUM FORMATS

COMPUTERIZED CRIMINAL HISTORY (CCH) CORRELATION MEDIUM

As explained in Chapter 3, Section 5 of this manual, a state may request a CCH Correlation medium that provides the state with all of its III data that are 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)

Data Set Name III OUT.XX.CCH (XX-2-CHARACTER STATE CODE)

Medium

Reel OPTCartridge OPT

Length

Record 262Block 262008MM OPT

Record Form

F V FB X VB 18 Track OPT

Format

EBCDIC 6250 OPT36 Track OPT

Density

1600 OPT6250 OPT36 Track OPT

Labels

None Standard 18 Track

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Date 2001/02/16

CHAR	MKE (L) **		ORI		FBI (R)		NAM (L) ***		S R E A C		POB	DOB ***																																																			
			A/N (not stored)		A/N		A/S/N		A		A	N																																																			
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
DEX	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

CHAR	HGT	WGT	EYE	HAI	SKN	SMT (L) ***	SOC ***	MNU (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
HEX	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	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

	FPC	ICO (L)																								A/S/N																								FILLER																							
CHAR																																																																									
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	8A	8B	8C	8D	8E	8F	90	91	92	93	94	95	96	97	98	99	9A	9B	9C	9D	9E	9F	A0	A1	A2	A3	A4	A5	A6	A7	A8	A9	AA	AB	AC	AD	AE	AF	B0	B1	B2	B3	B4	B5	B6	B7	B8	B9	BA	BB	BC	BD	BE	BF									

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

FILLER						
CHAR	256	257	258	259	260	261 262
DEC	100	101	102	103	104	105 106
HEX						

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 EHN.
*** - Supplemental identifiers may be appended to this field (Maximum of 9 except 99 for NAM).

IDENTIFICATION SEGMENT DATA ELEMENTS-BASE RECORD

- Message Key MKE (4)
Originating Agency Identifier (Not Stored)
FBI Number ORI (9)
Name FBI (9)
Sex NAM (30)
Race SEX (1)
Place of Birth RAC (1)
Date of Birth POB (2)
Height DOB (8)
Weight HGT (3)
WGT (3)
- Eye Color EYE (3)
Hair Color HAI (3)
Skin SKN (3)
Scars, Marks, Tattoos, etc. SMT (10)
Social Security Number SOC (9)
Miscellaneous Number MNU (15)
Fingerprint Classification FPC (20)
Identification Comments ICO (50)

RECORD LAYOUT WORK SHEET

IAFIS CORRELATION

Record Name ARREST SEGMENT (SEG 2)

Data Set Name III OUT.XX.CCH (XX=2-CHARACTER STATE CODE)

Medium

Reel

Cartridge

Length

Record

Block

Record Form

F

VB

Format

1600

6250

Density

None

Standard

Labels

None

Standard

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Date

2001/02/16

CHAR	MKE (L) **		ORI										DOB		SID (R)		FBI (R)		ANA																																												
	1	2	A/N										N	A/N		A/N																																															
			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
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 <td>61</td> <td>62</td> <td>63</td>	61	62	63
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

RECORD LAYOUT WORK SHEET

IAFIS CORRELATION
 Record Name JUDICIAL SEGMENT (SEG 3) Reel OPT Medium OPT
 Data Set Name III OUT.XX.CCH (XX-2-CHARACTER STATE CODE) Cartridge OPT
 Length 262 Record 26200 Block 8MM Format EBDCI Density 1600 Labels None Page 3 of 4
 Record F V _____ OPT* _____ Date 2001/02/16
 FB X VB _____ OPT* _____
 18 Track _____ OPT* _____
 36 Track _____ OPT* _____
 ASCII _____ OPT* _____

CHAR	MKE (L) **		ORI										SID (R)										FBI (R)		DOA (R)		CCT ***																																				
	A	N	A/N										A/N										A/N	A	A	N	A	N																																			
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
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

RECORD LAYOUT WORK SHEET

IAFIS CORRELATION

Record Name CUSTODY-SUPERVISION SEGMENT (SEG 4)

Data Set Name

Medium

Reel

Cartridge

III OUT.XX.CCH (XX-2-CHARACTER STATE CODE)

Length

Record 262

Block 26200

8MM

Record Form

F

VB

ASCII

Format

EBODIC

1600

18 Track

Density

None

Standard

36 Track

Labels

None

Standard

36 Track

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Date 2001/02/16

CHAR	MKE (L)		ORI		SID (R)		FBI (R)		DOA (R)		S	
	**		A/N		A/N		A/N		A		C	
DEC	1	2	3	4	5	6	7	8	9	10	11	12
HEX	1	2	3	4	5	6	7	8	9	10	11	12

CHAR	SSD		SSN		SLE (L)		OCS (L)	
	N		N		A/S/N		A/S/N	
DEC	64	65	66	67	68	69	70	71
HEX	40	41	42	43	44	45	46	47

CHAR	OCS		FILLER		FILLER		FILLER	
DEC	128	129	130	131	132	133	134	135
HEX	80	81	82	83	84	85	86	87

CHAR	FILLER		FILLER		FILLER		FILLER	
DEC	192	193	194	195	196	197	198	199
HEX	C0	C1	C2	C3	C4	C5	C6	C7

CHAR	FILLER		FILLER		FILLER		FILLER	
DEC	256	257	258	259	260	261	262	263
HEX	100	101	102	103	104	105	106	107

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 always be ER4.

CUSTODY-SUPERVISION SEGMENT DATA ELEMENTS (SEGMENT 4)

- Message Key (4)
- Agency Identifier (29)
- State Identification Number (10)
- FBI Number (9)
- Date of Arrest or Print (9)
- Status Change Character (1)
- Custody or Supervision (8)
- Status Starting Date (3)
- Status-Numeric (50)
- Custody or Supervision (10)

III SYNCHRONIZATION MEDIUM

As explained in Chapter 4, Section 4 of this manual, a biannual synchronization of criminal history records maintained by III participating states is required. The following page shows the record layout work sheet that is provided to the state by the FBI's CJIS Division for the synchronization.

RECORD LAYOUT WORK SHEET

Record Name
Data Set Name

III STATE SYNCHRONIZATION
III. OUT. SYNC. XX- (XX CHARACTER STATE CODE)

Medium
Reel

Record
Block
8MM

Length
90
9,000
OPT

Record Form
F
FB

Format
EBCDIC
ASCII

Density
1600
6250
18 Track
36 Track

Labels
None
Standard

Page 1 of 1
Date 2001/05/21

CHAR	Record Identifier		SID (R)		FBI (R)		S F I		NAM (Base Record)		(L)		S R E A X C		DOB (Base Record)																																																
	A		A/N/S or b		A/N or b		A		A		A		A		N or b																																																
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
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

LEGEND:
A - Alpha Character(s)
N - Numeric Character(s)
S - Special Character(s)
b - Blank(s)
(L) - Left Justified
(R) - Right Justified
If no (L) or (R) indicated, data must fill field.

CHAR	Record Identifier		SID (R)		FBI (R)		S F I		NAM (Base Record)		(L)		S R E A X C		DOB (Base Record)																																																
	A		A/N/S or b		A/N or b		A		A		A		A		N or b																																																
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
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

III STATE SYNCHRONIZATION TAPE-DATA ELEMENTS FOR
ACTIVE, DECEASED, EXPUNGED, CONSOLIDATED AND DELETED RECORDS

CHAR	S O B		DPR		DPE		R I A S		E F F E		A S C L		FILLER														
	A or B		N or B		N		A		A		A		A														
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
HEX	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

III STATUS			
ACTIVE / DECEASED			
Active			
Position(s)			
Record Identifier	1-4 (4)	IIIS	
SID or FBI Pointer	5-14 (10)	SID or FBI Pointer	
FBI	15-23 (9)	FBI Number	
**SFI	24 (1)	M or S	
NAM	25-54 (30)	Name	
SEX	55 (1)	M or F	
RAC	56 (1)	Race Code	
DOB	57-64 (8)	Date of Birth	
**SCI	65-66 (2)	Blanks	
6DPR	67-74 (8)	Blanks	
+DPE	75-82 (8)	Date Pointer Established	
+REA	83 (1)	Y (yes) or N (no)	
+++IFS	84 (1)	D, C, or X	
#AFC	85 (1)	N (no)	
##SEL	86 (1)	Y (yes) or N (no)	
Filler	87-90 (4)	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.
6 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.

III MAINTENANCE MESSAGE MEDIUM

The maintenance message medium format and specifications on the following page should be followed when the state chooses to process off-line a large volume of maintenance messages (EHN, XHN, MRS, DRS, or DEC). Prior to the submission of the medium, the state should contact the III staff at the FBI's CJIS Division to arrange a preliminary processing date.

When submitting the medium, the state should include correspondence providing details about the types of transactions, medium specifications (i.e., record length, data set, name, volume serial number, density, block length, etc.), data description, and a one-page sample listing of the first few messages on the medium. In addition, the state agency should maintain a back-up copy of the medium in case a problem arises with the medium that was forwarded to the FBI's CJIS Division.

Any rejected messages generated as a result of the processing will be written to the medium and returned to the state.

If the messages on the medium are either MRS or DRS messages, all \$.A. unsolicited messages (SSO and MSO) generated as a result of these transactions will be transmitted online to the state. Should this procedure cause problems for the state, the state agency should advise the FBI's CJIS Division *before* submitting the medium.

The following page shows the record layout work sheet that should be used to submit a large volume of maintenance messages to the III.

RECORD LAYOUT WORK SHEET

Record Name III XXX TRANSACTIONS

Data Set Name _____

Record Length OPT

Record Form V OPT

Nines Record Yes

Density 1600 OPT

Labels None OPT

Page 1 of 1

Block OPT

VB OPT

No X

6250 OPT

Standard Standard

*OPT

Date _____

CHAR	ROW		HEADER										MKE (L)		ORI		TRANSACTION DATA FIELDS																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																	
	X	Y	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C	C

CHAR	ROW																																COL																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																					
	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX	DEC	HEX	HEX

Computer Tape Submission of III Transactions
Data Elements and Instructions

DATA ELEMENTS

Maximum Characters including
EOT Character:

Tape format record - 1,006
Actual transaction - 1,000

If transaction is less than the maximum
number of characters, do not pad with
blanks.

LEGEND

X - Hexadecimal
C - Character

L - Left justified; if no L indicated,
data must fill field.

*If standard labels used, they must be
IBM standard labels.

INSTRUCTIONS

** 1) The header is a 19-character field which may contain alphabetic, numeric, special, or blank characters. The first four header positions (Positions 7-10), however, must be 2I01. The next 10 positions (positions 11-20) should contain a unique name identifying your agency so that the records from this special run may be distinguished from normal transactions. The last five positions (positions 21-25) should be the transaction sequence number beginning with 00001 (zero-fill, right justify).

*** 2) The first three fields of all III transactions are the Header, MKE, and ORI. The fields and data needed to complete the transaction are determined by the MKE. Since the transactions on the medium will be processed through the on-line system, the fields are to be formatted the same as those in individual transactions sent to III. The field edit specifications for all III transaction data fields are in the *III/NFF Operational and Technical Manual*, Appendix A. The formats for update transactions are in the *III/NFF Operational and Technical Manual*, Chapter 5; QH and QR formats are in Chapter 2.

III/NFF MANUAL
APPENDIX G
NLETS CONTROL FIELD SPECIFICATION

NLETS Control Field (NCF)

The NLETS Control Field (NCF) is a 10-character, fixed-length field used by a number of states/agencies to assist in routing NLETS 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, neither a period (.) nor “NCF/.” will be inserted in the \$.A.CHR to indicate that the data are missing. If a \$.A.CHR unsolicited message does not contain a 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 York
Arkansas	North Carolina
Connecticut	North Dakota
Delaware	Ohio
District of Columbia	Oklahoma
Florida	Police of Puerto Rico
Georgia	Rhode Island
Honolulu, Hawaii, Police Department	Royal Canadian Mounted Police
Iowa	Ottawa, Canada
Kansas	South Dakota
Louisiana	Tennessee
Maine	U.S. Air Force Office of
Massachusetts	Special Investigations
Mississippi	U.S. Coast Guard, West Virginia
Missouri	U.S. Postal Inspection Service
Montana	U.S. Secret Service
Naval Investigative Service	Vermont
Nebraska	Virginia
Nevada	Washington
New Hampshire	West Virginia
New Jersey	Wyoming
New Mexico	

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

III/NFF MANUAL
APPENDIX H
CHECK-DIGIT ROUTINES—FBI NUMBERS

FBI NUMBER FORMATS

An FBI Number is assigned to an individual as his/her information is initially added to the III. An FBI Number may be comprised of three parts: numeric, alphabetic suffix, and numeric check-digit. Over the years, four different formats have been used in the composition of FBI Numbers; all of these formats currently reside in the III. These formats are outlined below:

1. **One to seven numeric characters with no suffix or check-digit**, e.g., 3134564. (This is the earliest format for an FBI Number.) When an FBI Number consists of 7 numerics, the first numeric cannot be 7 or 8. (Seven-character, all numeric FBI Numbers beginning with a 9 represent III test records).
2. **One to six numeric characters with a single alphabetic character as a suffix and no check-digit**; e.g., 789C. The valid alphabetic characters for this format are A through H.
3. **One to six numeric characters, a single alphabetic character as a suffix, and a one- or two-character numeric check-digit**, e.g., 2468J6, 2468P11. (The check-digit will range from 1 through 11.)

For this format, the valid alphabetic characters are:

J	N	T	Y
K	P	V	Z
L	R	W	
M	S	X	

The invalid characters are I, O, Q, and U.

4. **One to six numeric characters, a two-character alphabetic suffix, and a one-character numeric check-digit**, e.g., 222144KA0. (This is the current FBI Number format.) 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	

The check-digit will range from 0 through 9.

The invalid characters for the first position are B, G, I, O, Q, S, U, Y, and Z.

The alphabetic characters allowed as the second character are A, B, C, D, etc. In this format, the second alphabetic character is referred to as the series character and is not considered when computing the check-digit.

FBI NUMBER SUFFIXES

The following table provides the assignment of FBI Numbers ending with letter suffixes N through KC:

N	V	CA	HA	MA	TA
P	W	DA	JA	NA	VA
R	X	EA	KA	PA	WA
T	AA	FA	LA	RA	XA
AB	FB	LB	RB	XB	EC
CB	HB	MB	TB	AC	FC
DB	JB	NB	VB	CC	KC
EB	KB	PB	WB	DC	

Any manual records (all numeric series, alphabetic series A-M, S, Y, and Z) that have been converted are available via the III.

FBI NUMBER CHECK-DIGIT CALCULATION ROUTINE

The formula for computing the check-digit is provided below.

1. The first or only alphabetic suffix character is assigned a numeric value as follows:

A and J	=	1	D and M	=	4	P and X	=	7
K and S*	=	2	E, N, and V	=	5	H and Y*	=	8
C, L, and T	=	3	F and W	=	6	R and Z*	=	9

*These characters are not valid for use as the first position of a two-character alphabetic suffix.

2. Each numeric character retains its value.
3. Each numeric character (N) and the first or only alphabetic suffix character (A) are assigned a position multiplier or weight as indicated below. (The second alphabetic character in a two-character suffix, the series character (a), is not assigned a multiplier.)

- FBI Number: N N N N N N A a
 - Position multiplier: 2 7 6 5 4 3 2
 - When the numeric portion of the FBI Number is less than 6 characters, a leading zero(s) must be used to increase the number of numeric characters to 6.
4. Multiply the numeric value of each character in the FBI Number by its assigned position multiplier and add the products to get the sum.
 5. Divide the sum by 11 and then subtract the remainder from 11. The difference is the check-digit.
 - When the sum is equally divided by 11, i.e., the remainder is 0, the check-digit is 11.
 - If the computed check-digit is 11 and the FBI Number has a 2-character alphabetic suffix, the second number is not used.
 - If the computed check-digit is 10 and the FBI Number has a 2-character alphabetic suffix, the check-digit is set to zero (0).

Example 1: Single Alphabetic Character Suffix

FBI Number 2468J

1. 002468J (lead zeros added for computation)

<u>FBI Number</u>		<u>Position Multiplier</u>		<u>Products</u>
0	x	2	=	0
0	x	7	=	0
2	x	6	=	12
4	x	5	=	20
6	x	4	=	24
8	x	3	=	24
J = 1	x	2	=	<u>2</u>
Sum =				82

2. $82/11 = 7$ with a remainder of 5.
3. $11 - 5 = 6$. The check-digit is 6. Therefore, the full FBI Number is 2468J6.

Example 2: Two-Character Alphabetic Suffix

FBI Number 222144KA

1. 222144KA

<u>FBI Number</u>			<u>Position Multiplier</u>		<u>Products</u>
2	x		2	=	4
2	x		7	=	14
2	x		6	=	12
1	x		5	=	5
4	x		4	=	16
4	x		3	=	12
K = 2	x		2	=	<u>4</u>
Sum =					67

2. $67/11 = 6$ with a remainder of 1.

3. $11 - 1 = 10$. The check-digit is set to 0 since the suffix is 2 alphabetic characters. The full FBI Number is 222144KA0.

III/NFF MANUAL
APPENDIX I
III ADMINISTRATIVE MESSAGES

III ADMINISTRATIVE MESSAGES (\$.U, \$.V, \$.W, \$.X, \$.Y, \$.Z)

The NCIC transmits administrative messages relating to III service to advise 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.
NCIC III FILE OUT OF SERVICE UNTIL 1200 EST.

The NCIC transmits this message when the III is out of service.

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.

III/NFF MANUAL
APPENDIX J
FD 1-542 REQUEST TO CHANGE III/IAFIS BASE IDENTIFIER(S)

As explained in Chapter 3, Section 5, of this manual, Form 1-542 (Request to Change III/IAFIS Base Identifier[s]) should be submitted to the FBI's CJIS Division to correct or change the base identifiers in a III record or to report a possible consolidation. A copy of the form follows.

**FEDERAL BUREAU OF INVESTIGATION
INTERSTATE IDENTIFICATION INDEX (III)
INTEGRATED AUTOMATED FINGERPRINT IDENTIFICATION SYSTEM (IAFIS)
REQUEST TO CHANGE III/IAFIS BASE IDENTIFIER(S)**

TYPE OF REQUEST☐ SID CORRECTION☐ OTHER CORRECTION☐ CONSOLIDATIONIII Record: ☐ Yes ☐ No**PART I. BASE IDENTIFIERS CURRENTLY SHOWN IN THE III/IAFIS RECORD**

*Last Name		First Name		Middle Name
*FBI Number	SID Number	Birth Date	Sex	Race

PART II. DATA IDENTIFIED IN THE RECORD ABOVE SHOULD BE CHANGED AS FOLLOWS:

(List the Correct Identifier(s) Below)

Last Name		First Name		Middle Name			
Sex	Race	Birth Date	Height	Weight	Eyes	Hair	Birth Place
Scars, Marks, and Tattoos			Social Security Number		Miscellaneous Number		
Possible Consolidation With:			FBI Number		SID Number		
*Contributor of Change					*ORI		
*Signature of Official Authorizing Change					Date		

INSTRUCTIONS: A state identification bureau may request that base identifiers be changed in III/IAFIS records if the identifiers are believed to be incorrect based on documented information concerning the individual. The requested changes will be made by FBI personnel unless there is conflicting information in FBI files, in which case you will be notified.

REQUIRED INFORMATION**☐ **ADDITIONAL INFORMATION ON BACK*FBI/DOJ**

III/NFF MANUAL
APPENDIX K
DATE OF ARREST (DOA) CUT-OFF DATES

As explained in Chapter 3, Section 4 of this manual, potential III participants must establish a date to begin receiving III unsolicited messages. This date is referred to as a 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	NO DATE
California	1973/01/01
Colorado	1983/01/01
Connecticut	1976/01/01
Delaware	1986/01/01
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
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	NO DATE
South Dakota	1994/04/15
Tennessee	2003/02/23
Texas	1983/01/01
Utah	1992/06/15
Virginia	1983/01/01

Washington	1993/01/01
West Virginia	1998/05/01
Wisconsin	1999/11/01
Wyoming	1983/01/01

III/NFF MANUAL
APPENDIX L
IAFIS EQUIVALENT MESSAGE FOR \$.A.NPR, \$.A.PIR, \$.A.CFN, AND \$.A.CFR

The following is an example of an IAFIS equivalent message received by a state AFIS via the CJIS WAN in response to an electronic ten-print submission. (The III System issues the following equivalent messages via the CJIS WAN: \$.A.NPR [NO PRIOR RECORD], \$.A.PIR [PRIOR RECORD], \$.A.CFN [CIVIL NON-IDENT], or a \$.A.CFR [CIVIL IDENT]).

```
1.01:150^1.02:0201^1.03:112%00\1%^1.04:SRE^1.05:200001171^1.06:1^1.07.NC030000
0^1.08:WVIAFISOZ^1.09:IFCS0003000001211450^1.10:000040719^1.11:00.00^1.12:00.0
0~2.001:000164^2.002:00^2.009:00081241^2.014:341226MA2^2.015:NC023412^2.018:DU
CK,DONALD^2.041:235 GOING AVE CARSON OR 34256^2.059:I^2.073:NC0131701~
```

The field descriptors are as follows:

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 (AN)	M
ORI	1.08	Originating Agency Identifier	9 (AN)	M
TCN	1.09	Transaction Control Number	10-40 (ANS)	M
TCR	1.10	Transaction Control Reference	10-40 (ANS)	O
NSR	1.11	Native Scanning Resolution	5 (NS)	M

NTR	1.12	Nominal Transmitting Resolution	5 (NS)	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 (ANS)	O
FBI	2.014	FBI Number	1-9 (AN)	O*
SID	2.015	State Identification Number	3-10 (ANS)	C*
NAM	2.018	Name	3-30 (AS)	M
RES	2.041	Residence of Person Fingerprinted	1-120 (ANS)	O
SRF	2.059	Search Results Findings	1 (A)	M**
CRI	2.073	Controlling Agency Identifier	1-9 (ANS)	M

*The FBI or SID Number may be used.

**The field, "Search Results Findings," 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

III/NFF MANUAL
APPENDIX M
IAFIS EQUIVALENT MESSAGE FOR \$.A.NMS WHEN THE TEN PRINT CONTAINS A
DIFFERENT SID NUMBER

The following is an example of an IAFIS equivalent error message received by a state AFIS via the CJIS WAN in response to an electronic ten-print submission when the ten print contains a different SID Number for the individual than what has been established. (The III System issues the following equivalent message via the CJIS WAN: \$.A.NMS [NONMATCHING SID]).

```
1.01:150^1.02:0201^1.03:112%00\1%^1.04:ERRT^1.05:200001171^1.06:4^1.07.NC03000
00^1.08:WVIAFISOZ^1.09:IFCS0003000001211450^1.10:000040719^1.11:00.00^1.12:00.
00~2.001:000164^2.002:00^2.009:00081241^2.015:NC023412^2.060:L0038 - CANNOT
ESTABLISHED 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:

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 (AN)	M
ORI	1.08	Originating Agency Identifier	9 (AN)	M
TCN	1.09	Transaction Control Number	10-40 (ANS)	M
TCR	1.10	Transaction Control Reference	10-40 (ANS)	O

NSR	1.11	Native Scanning Resolution	5 (NS)	M
NTR	1.12	Nominal Transmitting Resolution	5 (NS)	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 (ANS)	O
SID	2.015	State Identification Number	3-10 (ANS)	O
MSG	2.060	Status/Error Message	1-300 (ANS)	M
CRI	2.073	Controlling Agency Identifier	1-9 (ANS)	M

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

III/NFF MANUAL
APPENDIX N
IAFIS EQUIVALENT MESSAGE FOR \$.A.RNP AND \$.A.RPR WHEN THE
NFF TEN PRINT CONTAINS A SID NUMBER FOR A DIFFERENT FBI NUMBER
(Message Applies Only to NFF Participating States)

The following is an example of an IAFIS equivalent error message received by an NFF state's AFIS via the CJIS WAN in response to an NFF electronic ten-print submission when the ten print contains a SID Number associated with a different FBI Number. (The III System issues the following equivalent messages via the CJIS WAN: \$.A.RNP [REJECT NO PRIOR RECORD] or \$.A.RPR [REJECT PRIOR RECORD]).

```
1.01:150^1.02:0201^1.03:112%00\1%^1.04:ERRT^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.
00~2.001:000164^2.002:00^2.006:SA JQ DOE, RM 11879^2.009:00081241^2.015:NC0234
12^2.060: L0024 - THE SID PROVIDED IN THE CRIMINAL TEN-PRINT 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 as follows:

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 (AN)	M
ORI	1.08	Originating Agency Identifier	9 (AN)	M
TCN	1.09	Transaction Control Number	10-40 (ANS)	M

TCR	1.10	Transaction Control Reference	10-40 (ANS)	O
NSR	1.11	Native Scanning Resolution	5 (NS)	M
NTR	1.12	Nominal Transmitting Resolution	5 (NS)	M
LEN	2.001	Logical Record Length	2-7 (N)	M
IDC	2.002	Image Designation	2 (N)	M
ATN	2.006	“Attention” Indicator	3-30 (ANS)	M
OCA	2.009	Originating Agency Case Number	1-20 (ANS)	O
SID	2.015	State Identification Number	3-10 (ANS)	O
MSG	2.060	Status/Error Message	1-300 (ANS)	M
CRI	2.073	Controlling Agency Identifier	1-9 (ANS)	M

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

III/NFF MANUAL
APPENDIX O
IAFIS MESSAGE WHEN THE NFF TEN PRINT DOES NOT CONTAIN
A SID NUMBER
(Message Applies Only to NFF Participating States)

The following is an example of an IAFIS error message received by an NFF state's AFIS via the CJIS WAN in response to an NFF electronic ten-print submission when the ten print does not contain a SID Number. (The III System 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:NC03000
00^1.08:WVIAFISOZ^1.09:IFCS0003000001211450^1.10:000040719^1.11:00.00^1.12:00.
00~2.001:000164^2.002:00^2.009:00081241^2.060:L0023 - NFF PARTICIPANT MUST
PROVIDE A SID ON A CRIMINAL RETAIN TEN-PRINT SUBMISSION^2.073:NC0131701~
```

The field descriptors are as follows:

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 (AN)	M
ORI	1.08	Originating Agency Identifier	9 (AN)	M
TCN	1.09	Transaction Control Number	10-40 (ANS)	M
TCR	1.10	Transaction Control Reference	10-40 (ANS)	O

NSR	1.11	Native Scanning Resolution	5 (NS)	M
NTR	1.12	Nominal Transmitting Resolution	5 (NS)	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 (ANS)	O
MSG	2.060	Status/Error Message	1-300 (ANS)	M
CRI	2.073	Controlling Agency Identifier	1-9 (ANS)	M

LEGEND

Character: A = Alpha, B = Binary, N = Numeric, S = Special Character

Condition: O = Optional, M = Mandatory, C = Conditional

III/NFF MANUAL

APPENDIX P

IAFIS MESSAGE WHEN THE NFF TEN PRINT IS SUBMITTED DUE TO IMPROVED PRINT QUALITY OR A NEW SCAR/AMPUTATION

(Message Applies Only to NFF Participating States)

The following is an example of an IAFIS message received by an NFF state's AFIS via the CJIS WAN in response to an NFF electronic ten-print submission due to improved print quality or to indicate a new scar or amputation. The message is referred to as Fingerprint Image Submission Response (FISR). (The III System does not issue an equivalent message).

```
1.01:150^1.02:0201^1.03:112%00\1%^1.04:SRE^1.05:200001171^1.06:3^1.07:NC03000
00^1.08:WVIAFISOZ^1.09:IFCS0003000001211450^1.10:000040719^1.11:00.00^1.12:00.
00~2.001:000164^2.002:00^2.006:00081241^2.007:NC001232256^2.014:341226MA2^2.01
5:NC023412^2.018:DUCK, DONALD^2.072:G1^2.073:NC0131701~
```

The field descriptors are as follows:

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 (AN)	M
ORI	1.08	Originating Agency Identifier	9 (AN)	M
TCN	1.09	Transaction Control Number	10-40 (ANS)	M
TCR	1.10	Transaction Control Reference	10-40 (ANS)	O

NSR	1.11	Native Scanning Resolution	5 (NS)	M
NTR	1.12	Nominal Transmitting Resolution	5 (NS)	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 (ANS)	M
SCO	2.007	Send Copy To	9-19 (ANS)	O
FBI	2.014	FBI Number	1-9 (AN)	M*
SID	2.015	State Identification Number	3-10 (ANS)	O*
NAM	2.018	Name	3-30 (AS)	O
FIU	2.072	Fingerprint Image(s) Updated	1-2 (AN)	M
CRI	2.073	Controlling Agency Identifier	1-9 (ANS)	M

*An FBI 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

III/NFF MANUAL
APPENDIX Q
SAMPLE III QR RECORD RESPONSES

Provided below are sample III QR record responses. Responses included are: (1) FBI Identification Record, (2) Current State Format, and (3) NLETS Presentation Format.

Responses:

FBI IDENTIFICATION RECORD RESPONSE

```
CR.WVFBINF00
04:23 03/30/2004 00051
04:23 03/30/2004 00049 DCFBINF00
*5678901234
TXT
HDR/2L01HEADER
ATN/SGT SMITH
***** CRIMINAL HISTORY RECORD *****

Data As Of          2004-03-30

***** 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; 2004-03-30) All arrest entries contained in this FBI record are based on fingerprint comparisons and pertain to the same individual.(US; 2004-03-30) 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; 2004-03-30)

***** 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	Brown	17081117113TT091611
		LS LS WU RS WU RS WU RS

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 (DCFBIIIIIZ)

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 01/05/1998
NOTIFY OHFBICV00 FBI CLEVELAND OHIO(FBI;1998-01-05)

***** CRIMINAL HISTORY *****

===== Cycle 001 =====

Tracking Number 000000003
Earliest Event Date 1997-07-11

Arrest Date 1997-07-11
Arrest Case Number A00000000
Arresting Agency DCFBIIIIIZ
Subject's Name KILLER, COPY CAT
Offender Id Number
Arrest Type ADULT

Charge
Charge Number 1
Charge Sequence 1
Charge Tracking Number 000000001
Charge Case Number
Agency DCFBIIIIIZ
Offense Date 1997-07-11
Charge Description BANK ROBBERY
Statute 3331
NCIC Offense Code
State Offense Code 02212
Counts 1
Severity Unknown
Inchoate Charge
Enhancing Factor
Reducing Factor
Disposition Unknown
Comment

===== Cycle 002 =====

Tracking Number 000000005
Earliest Event Date 2001-12-06

Arrest Date 2001-12-06
Arrest Case Number
Arresting Agency KYKSP0000
Subject's Name KILLER, CC (AKA)

Offender Id Number
 Arrest Type ADULT
 Charge
 Charge Number 2
 Charge Sequence 2
 Charge Tracking Number 000000004
 Charge Case Number
 Agency KYKSP0000
 Offense Date 2001-12-06
 Charge Description COUNTERFEITING IMMIGRATION DOCUMENTS
 Statute
 NCIC Offense Code
 State Offense Code 44444
 Counts
 Severity Unknown
 Inchoate Charge
 Enhancing Factor
 Reducing Factor
 Disposition
 Comment

Court Disposition (Cycle 002)
 Court Case Number
 Court Agency NOT KNOWN
 Subject's Name
 Charge
 Charge Number
 Charge Sequence 2
 Charge Tracking Number
 Charge Case Number
 Agency
 Offense Date 2001-12-06
 Charge Description COUNTERFEITING IMMIGRATION DOCUMENTS
 Statute
 NCIC Offense code
 State Offense Code
 Counts 1
 Severity UNKNOWN
 Inchoate charge
 Enhancing Factor
 Reducing Factor
 Disposition Guilty
 Comment

Sentencing (Cycle 002)
 Sentencing Agency NOT KNOWN
 Court Case Number
 Charge Number
 Charge Tracking Number 1B09876
 Charge Sequence
 Sentence 18 MTHS IMPR, FINE: \$500.00

Corrections (Cycle 002)
 Corrections Agency KY0000000
 Subject's Name

Correctional ID Number
Court Case Number
Correction Action SUPERVISED RELEASE

***** INDEX OF AGENCIES *****

Agency FBI Clarksburg; WVFBINF00;
Mailing Address 1000 CUSTER HOLLOW RD
CLARKSBURG, WV 26306

Agency Kentucky State Police; KYKSP0000
Mailing Address 664 Obine Avenue
Lexington, KY 34501

* * * END OF RECORD * * *

CURRENT STATE FORMAT

CR.VAIIII0000
11:52 06/26/86 01056
11:52 06/26/86 00197 TXDPD0000
*1234567890
TXT
HDR/2L01HEADER
ATN/DET JAMES PUBLIC
THIS RECORD IS BASED ONLY ON THE FBI NUMBER IN YOUR REQUEST-FBI/9015174.
BECAUSE ADDITIONS OR DELETIONS MAY BE MADE AT ANY TIME, A NEW COPY
SHOULD BE REQUESTED WHEN NEEDED FOR SUBSEQUENT USE.

- VIRGINIA CRIMINAL HISTORY -

WHEN EXPLANATION OF A CHARGE OR DISPOSITION IS NEEDED, COMMUNICATE
DIRECTLY WITH THE AGENCY THAT CONTRIBUTED THE FINGERPRINTS.

NAME	STATE ID NO.	FBI NO.	DATE REQUESTED
SAMPLE, JOHN PATRICK	VA00000009	9015174	1998/06/23

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	BIRTH PLACE
M	W	1956/12/25	601	189	BLU	BRO	MICHIGAN

ARREST-1 1982/10/18
AGENCY-WILLIAMSBURG PD VA (VAWLG0000)
AGENCY CASE-29831 NAME USED-SAMPLE, JOHN
CHARGE 1-BURGLARY - 2 COUNTS

COURT-8TH DISTRICT COURT TOWSON VA (VA003025J)
1983/01/18 COURT NO.-CR98554 DISPOSITION-CONVICTED
FELONY-BURGLARY
SENTENCE-1Y-3Y CONFINEMENT
FOUND GUILTY

SUPPLEMENTAL COURT DATA-
COURT - 8TH DISTRICT COURT TOWSON VA (VA003025J)
1985/07/29 DISPOSITION-CONVICTED
FELONY-BURGLARY
SENTENCE-1Y-3Y CONFINEMENT
SUBJECT RETRIED BASED ON APPELATE COURT DECISION

SUPERVISORY OR CUSTODY-
AGENCY-DIV OF CORR RECEIPT CTR WILLIAMSBURG VA (VA004025C)
AGENCY CASE-BC10151
1985/07/30 STATUS-RECEIVED

THIS IS A SINGLE-STATE RECORD. NO ADDITIONAL CRIMINAL HISTORY
INFORMATION IS INDEXED AT NCIC FOR OTHER STATE OR FEDERAL OFFENSES.

THE USE OF THIS RECORD IS CONTROLLED BY STATE AND FEDERAL REGULATIONS.
IT IS PROVIDED FOR OFFICIAL USE ONLY AND MAY BE USED ONLY FOR THE
PURPOSE REQUESTED.
END OF RECORD

NLETS PRESENTATION FORMAT

CR.VAVSP0000
04:23 03/30/2004 00051
04:23 03/30/2004 00049 TXDPD0000
*1234567890
TXT
HDR/2L01HEADER
ATN/DET JAMES PUBLIC
***** CRIMINAL HISTORY RECORD *****

Data As Of 2004-04-23

***** INTRODUCTION *****

This rap sheet was produced in response to the following request:

FBI Number 9015174
State Id Number VA00000009
Social Security Number
Date of Birth
Driver's License Number
Miscellaneous Number
Request Id
Purpose Code C
Attention DET JAMES PUBLIC

The information in this rap sheet is subject to the following caveats:

NOTE 1: WHERE DISPOSITION DATA IS NOT SHOWN OR FURTHER EXPLANATION OF
CHARGE OR DISPOSITION IS DESIRED, CONTACT THE CONTRIBUTING AGENCY. (VA)
NOTE 2: THIS RECORD DOES NOT NECESSARILY CONTAIN ALL ARREST DATA, BUT
ONLY THAT WHICH HAS BEEN REPORTED TO THE VIRGINIA STATE POLICE AND
WHICH IS AVAILABLE FOR DISSEMINATION UNDER STATE AND FEDERAL LAW. (VA)

***** IDENTIFICATION *****

Subject Name(s)

SAMPLE, JOHN PATRICK

Subject Description

FBI Number	State Id Number	DOC Number
9015174	VA00000009	

Social Security Number	Driver's License Number
------------------------	-------------------------

Miscellaneous Numbers

Sex	Race	Skin Tone
Male	White	Light
Height	Weight	Date of Birth
6'01"	189 Pounds	1956-12-25
Hair Color	Eye Color	Fingerprint Pattern
Brown	Blue	

Scars, Marks, and Tattoos

Blood Type	Medical Condition
------------	-------------------

Place of Birth	Citizenship	Ethnicity
MI		

Marital Status	Religion
----------------	----------

Employment

Residence	
Residence as of	2001-12-06
Mailing Address	104 ANYTIME ST, ANYPLACE, VA, US

Fingerprint Images

Palmprint Images

Photo Images

DNA Data

Caution Information

Comment(s)

***** CRIMINAL HISTORY *****

===== Cycle 001 =====

Tracking Number

Earliest Event Date 1982-10-18

Arrest Date 1982-10-18

Arrest Case Number 29831

Arresting Agency VAWLG0000

Subject's Name SAMPLE, JOHN PATRICK

Offender Id Number

Arrest Type ADULT

Charge

Charge Number 1

Charge Sequence

Charge Tracking Number 000000001

Charge Case Number

Agency VAWLG0000

Offense Date 1982-10-18

Charge Description BURGLARY

Statute

NCIC Offense Code

State Offense Code

Counts 2

Severity Unknown

Inchoate Charge

Enhancing Factor

Reducing Factor

Disposition

Comment

Court Disposition (Cycle 001)

Court Case Number CR-98554

Court Agency VA003025J

Subject's Name SAMPLE, JOHN PATRICK

Charge

Charge Number 1

Charge Sequence

Charge Tracking Number

Charge Case Number CR-98554

Agency VAWLG0000

Offense Date 1982-10-18

Charge Description BURGLARY

Statute

NCIC Offense code

State Offense Code

Counts 1

Severity

Inchoate charge

Enhancing Factor

Reducing Factor

Disposition CONVICTED

Comment SUBJECT RETRIED BASED ON APPELLATE COURT
DECISION

Sentencing (Cycle 001)
Sentencing Agency VA003025J
Court Case Number CR-98554
Charge Number 1
Charge Tracking Number
Charge Sequence
Sentence 1Y-3Y CONFINEMENT

Corrections (Cycle 001)
Corrections Agency VA004025C
Subject's Name SAMPLE, JOHN
Correctional Id Number BC10151
Court Case Number CR-98554
Correction Action 1Y-3Y CONFINEMENT

***** INDEX OF AGENCIES *****

Agency WILLIAMSBURG PD, VA; VAWLG0000;
Mailing Address 8888 MAIN STREET
WILLIAMSBURG, VA 34406

* * * END OF RECORD * * *

III/NFF MANUAL
ACRONYMS AND CODES

ADR	Address
AKA	Alias
AM	Administrative Message
APB	Advisory Policy Board
ATN	Attention Field
BLD	Building
CCH	Computerized Criminal History
CDN	Court Disposition Numeric
CFN	Applicant Fingerprint Not Identified Message
CFR	Applicant Fingerprint Identified Message
CFR	Code of Federal Regulations
CHR	Criminal History Record
CHRI	Criminal History Record Information
CIA	Central Intelligence Agency
CJIS Division	Criminal Justice Information Services Division
COMPACT	National Crime Prevention and Privacy Compact Act
CON	Record Consolidation
CPI	Criminal Print Identified
CSA	CJIS Systems Agency
CSO	CJIS Systems Officer
DEC	Deceased—SID Retired

DIS	Defense Investigative Service
DLU	Date of Last Update
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
EHN	Enter Supplemental Identifier(s)
EOT	End of Transmission
EXP	FBI Number Expunged
EXS	SID Number Expunged
FBI	Federal Bureau of Investigation
HDR	Header
IAFIS	Integrated Automated Fingerprint Identification System
IDAS	Identification Division Automated System
IDENT	Identified
IFFS	Identification for Firearms Sales Program
IFS	IFFS Criminal History Record Flag
IIETF	IAFIS Interface Evaluation Task Force

III	Interstate Identification Index
ITMS	Information Technology Management Section
MFC	Message Field Code
MKE	Message Key(s)
MNU	Miscellaneous Number
MRS	Modify Record SID
MSO	Multi-Source Offender
NAM	Name
NCF	NLETS Control Field
NCIC	National Crime Information Center
NFF	National Fingerprint File
NLETS	The International Justice and Public Safety Information Sharing Network
NMS	Nonmatching SID Ignored
NOE	Nonoperational Environment
NONIDENT	Unidentified
NPR	No Prior Record
NSA	National Security Agency
OGAN	Originating Agency Name
OPM	U.S. Office of Personnel Management
ORI	Originating Agency Identifier
PEM	Previously Established Multi-Source Record
PES	Previously Established Single-Source Record
PIR	Prior 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
REA	Record Reactivated
RNP	SID Rejected - No Prior NCIC III Record
RPR	SID Rejected - Prior NCIC III Record
SCIA	Security Clearance Information Act
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
SSO	Single-Source Offender
SX	Sexual Offender Pointer
U.S.	United States
U.S.C.	United States Code

WP	Wanted Person
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)

III/NFF MANUAL

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, post-trial release, prosecution, adjudication, correctional supervision, or rehabilitation of accused persons or criminal offenders.

CCNR File Modification—A change to any data field in an FBI Identification Record.

CHRI—An acronym for criminal history record information.

Civil Retain Ident Ten Print—A noncriminal ten print (fingerprint image) that has been identified with a criminal record and is retained at the FBI.

Civil Return Ident Ten Print—A noncriminal ten print (fingerprint image) that has been identified with a criminal record and is destroyed.

Civil Retain Non-Ident Ten Print—A noncriminal ten print (fingerprint image) that was not identified with a criminal record and is retained at the FBI.

Civil Return Non-Ident Ten Print—A noncriminal ten print (fingerprint image) that was not identified with a criminal record and is destroyed.

CJIS Division—An 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 Ten Print—A criminal ten print (fingerprint image) that has been identified with a criminal record and is retained at the FBI.

Criminal Return Ident Ten Print—A criminal ten print (fingerprint image) that has been identified with a criminal record and is destroyed.

Criminal Retain Non-Ident Ten Print—A criminal ten print (fingerprint image) that has not been identified with a criminal record and is retained at the FBI.

Criminal Return Non-Ident Ten Print—A criminal ten print (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 ten print (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—Whenever a state record ceases to exist due to a court order or a purge, the state must remove its SID from the III and submit written documentation to the FBI’s CJIS Division to remove all arrest cycles and any other associated data from the III record.

FBI—An acronym for Federal Bureau of Investigation.

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—Shortened version of identified.

III—An 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 CHRI 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 CHRI. (For example, a record having more than one state’s CHRI, one state and one federal CHRI, or one state’s CHRI and a wanted person notice and/or sexual offender registry notice.)

NFF—An 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 ten prints (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 ten prints (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.

Non-ident—Shortened version of unidentified.

Non-NFF State—A III participating state or nonparticipating state that continues to forward subsequent ten prints (fingerprint images), disposition forms, and related information to the FBI's 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.

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.

Response Request—An online request for a record not based on the processing of a ten print (fingerprint image), disposition form, or other documentation.

SID—An 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 CHRI. (For example, a record having one state or one federal CHRI, or a wanted person notice and/or a sexual offender registry notice.)

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—A ten print (fingerprint image) or other document identified with a record containing a notice indicating that the record subject is a registered sexual offender.

Ten Print—A fingerprint submission consisting of the images of all ten fingers or the total number of existing fingers of a subject.

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 ten print (fingerprint image) or other document identified with a record containing wanted person information.