

NCIC Operating Manual
INTERSTATE IDENTIFICATION INDEX (III) File
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SECTION 1--SECURITY AND CONFIDENTIALITY

SECURITY AND CONFIDENTIALITY OF CRIMINAL HISTORY RECORD INFORMATION (CHRI) OBTAINED VIA THE III

Authorization to obtain records via the Interstate Identification Index (III) is governed by federal laws and state statutes approved by the U.S. Attorney General that are applicable to the U.S. Department of Justice, the Federal Bureau of Investigation (FBI), and the National Crime Information Center (NCIC) System. Refer to the *CJIS Security Policy* for requirements related to personnel, physical, and technical security, as well as user authorization and dissemination.

SECTION 2--INTRODUCTION

2.1 OVERVIEW

The III Program provides for the decentralized interstate exchange of criminal history record information and functions as part of the Integrated Automated Fingerprint Identification System (IAFIS). 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. Each criminal history record is supported by a criminal fingerprint submission.

The criminal history inquiry (QH) allows authorized agencies to determine the existence of a criminal history record for a subject. The criminal history record request (QR) is used to retrieve the criminal history from the FBI and III/National Fingerprint File (NFF) participating states.

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 System 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 of 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.

The Privacy Act of 1974 requires that the FBI's CJIS Division maintain an audit trail of the purpose of each disclosure of a criminal history record and the recipient of that record. Therefore, all III QH and QR transactions 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 CJIS System managers/representatives, CJIS Systems Agency (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 transactions assists in ensuring that they are run for authorized purposes and that purpose codes are correctly used. The purposes for which authorized agencies may use III and the appropriate codes for use are:

Purpose Code A--Administrative File Maintenance

Purpose Code A is used by authorized participating state agencies to retrieve records for internal review. Purpose Code A responses cannot be disseminated for any other purpose. A QR for Purpose Code A allows a state to review CHRI, want, and sex offender registry notifications that are in the III for that state.

Purpose Code C--Criminal Justice

Purpose Code C is used 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. 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, and cooks.
 - 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 and volunteers at a confinement facility who are providing social or community services rather than rehabilitative services.
 - C. Confinement facility visitors.
 - D. Inmates of a confinement facility.
 - E. Inmate mail (a prisoner's list of names and addresses of those wishing to correspond with the prisoner). The III may be used when there is reason to believe that criminal activity is occurring or has occurred.
 - F. Participants of law enforcement-sponsored firearms training classes held at a public firing range that are handling firearms, and individuals attending firearms training events held at law enforcement facilities.
2. Purpose Code C is used by Governmental Social Service agencies with child protection responsibilities and the National Center for Missing and Exploited Children to access FBI criminal history record information under Section 151 of the Adam Walsh Child Protection and Safety Act of 2006 (Public Law 109-248). An NCIC Originating Agency

Identifier (ORI) ending in the alpha character "F" has been established for Section 151 access.

Purpose Code D--Domestic Violence and Stalking

Purpose Code D is used when the III transaction 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, 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 and QR transactions for Purpose Code D.

Purpose Code F--Weapons-Related Background Checks

Purpose Code F is 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.

Purpose Code H--Housing

Purpose Code H is 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 transactions. The FBI's CJIS Division may assign Public Housing Agencies ORIs containing the letter Q in the ninth position for use by authorized agencies.

It is important to note that, based on Pub. L. 104-120, QH inquiry information is provided to PHAs [Public Housing Authorities] only to inform them of the probable existence or nonexistence of a criminal history record. QH inquiries for PHAs will be made using the name and personal descriptive information supplied by an adult applicant for, or tenant of, public housing. The PHA will use the results of the QH response as a factor in deciding if a fingerprint based search of criminal history records should be requested. Only with the submission of fingerprints can a positive identification be made and a record provided, if such a record exists. Therefore, the result of the QH should not be used as the basis for disqualification, lease enforcement, or eviction. (NCIC Technical and Operational Update, Section 2, 2.1, December 6, 1996)

To receive a copy of a criminal history record, the PHA must submit a civil applicant fingerprint card on the applicant for, or tenant of, public housing. This fingerprint card must contain the requesting PHA's ORI. These cards are being issued, by the FBI, to the initial 122 PHAs and will be provided to additional PHAs as they are assigned ORIs.

Again, the fingerprints may be submitted to either the FBI or the SIB of the state where the PHA is located for processing, providing that the SIB has agreed to process the cards. (NCIC Technical and Operational Update, Section 2, 2.2, December 6, 1996)

Purpose Code I--Interstate-Approved Noncriminal Justice

Purpose Code I is 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 transactions may be sent using this purpose code by including the FBI Number or State Identification Number (SID). All requests for background checks for noncriminal justice purposes must be accompanied by fingerprints. QR transactions shall be made only after positive fingerprint identification by the State Identification Bureau (SIB). If the state agency does not make an identification, the fingerprints must be forwarded to the FBI's CJIS Division for searching.

Purpose Code J--Criminal Justice Employment

Purpose Code J is used when the III transaction 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 used for initial background checks of agency personnel as well as the following:

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

Purpose Code R--Departmental Order 556-73

Purpose Code R is used in an unsolicited criminal history request (\$.A.CHR) sent by the FBI to an NFF state for record requests resulting from Departmental Order (DO) 556-73 fingerprint processing. Purpose Code R is authorized for use only by the FBI and only for DO processing. See Section 2.2 of this chapter for additional information on the DO.

Purpose Code S--National Security

Purpose Code S is used by a federal 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: the Department of Defense (DOD), the U.S. Office of Personnel Management (OPM), Department of Transportation (DOT), the FBI, Central Intelligence Agency (CIA), and the Department of State (DOS).

Appropriate ORIs 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 ORIs include those with FBI, CIA, or DOS in positions 3, 4, and 5.

Purpose Code V--Visa Applicants

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

Purpose Code X--Exigent Procedures

Purpose Code X is used when a QH is made during an emergency situation when the health and safety of a specified group may be endangered. Following a QH, a QR 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 National Crime Prevention and Privacy Compact Council. 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. Purpose Code X must be pre-approved before it can be used. The FBI may assign a T in the ninth position of the ORI for use by authorized noncriminal justice agencies. Contact your CSA to determine if your agency has authority to use Purpose Code X.

2.2 INDIVIDUAL ACCESS, REVIEW, AND CHALLENGE

The DO 556-73 established the rules and regulations for the subject of an FBI Identification Record to obtain a copy of his or her own record for review or to challenge information on the record. In accordance with the DO, the FBI will release to the subject of an identification record a copy of such record upon submission of a written request, satisfactory proof of identity of the person whose identification record is requested, and a processing fee. The remote accessing of III for individual access and review is not allowed.

The subject of an identification record may obtain a copy of his/her criminal history record maintained in the III by submitting a written request via the U.S. mail directly to the FBI Criminal Justice Information Services Division, Record Request, 1000 Custer Hollow Road, Clarksburg, WV 26306. Such request must be accompanied by satisfactory proof of identity consisting of name, date and place of birth, and a set of rolled-inked fingerprint impressions. Each written request for production of an identification record must be accompanied by a processing fee in the form of a certified check or money order, payable to the Treasury of the United States. Additional information may be obtained at:

<http://www.fbi.gov/hq/cjisd/fprequest.htm>.

2.3 MESSAGE KEY (MKE) CODES

MKE	Message
QH	Inquiry to determine the existence of a III record.
QR	Request for a criminal history record from the FBI and/or a participating state(s) maintaining such record.
ZR	Inquiry to determine if a record for a particular FBI or SID Number is available using the III.
QWI	Inquiry of the NCIC person files and the III.

1. A QH is used to determine if an individual has a criminal history record in the III. In response, the III will provide: single matching index record, multiple matching index records, or no record responses. The response will include information regarding the identity of the database(s) maintaining the criminal history record information. Additional information can be found in Section 3 of this chapter.
2. A QR is used to obtain a specific criminal history record. Only the FBI or SID Fields can be used to identify the record being requested. A QR response will provide the criminal history record for the FBI or SID Number provided. The response may include portions of the record from the FBI and/or one or more III states. Additional information can be found in Section 4 of this chapter.
3. A ZR is used to determine if a record for a particular FBI or SID Number is available through the III. The response will advise whether the record is on file. Additional information can be found in Section 5 of this chapter.

4. A QWI performs a check of NCIC person files (QWA) and simultaneously conducts a III QH transaction. The NCIC and III Systems will return positive and/or negative responses independently. Additional information on procedures for conducting QWI inquiries can be found in the Wanted Person File chapter.
5. See the *III/NFF Operational and Technical Manual* for additional information regarding III MKEs that are available to SIBs in III participating states.

2.4 HEADERS

1. Each III transaction requires a header of at least 9 but not more than 19 alphabetic, numeric, and/or special characters. The first 4 characters of a III transaction must be "2L01." The remaining 15 characters are used by the originating agency or CSA to code the transaction for routing and/or record-keeping purposes.
2. 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.
3. The III response header identifies the type of response. The III uses 15 different characters in the first position of the III response header to identify the type of response. The characters used and their definitions are as follows:

<u>Character</u>	<u>Response Definition</u>
2	QH, QR, QWI, and ZR response when the record is no longer on file due to record consolidation, deletion, expungement, retirement, or the subject's death.
3	QH and QWI multiple matching candidate response (other than Purpose Code F).
5	ZR positive response.
7	QH and QWI single-candidate response (other than Purpose Code F).
D	QH and QWI single candidate response for Purpose Code F when the record contains an Identification for Firearms Sales (IFFS) status flag indicating at least one federally disqualifying firearms conviction.
E	QR initial positive response when one or more states are providing the criminal history record.
F	QR initial positive response when the FBI's CJIS Division is providing the entire criminal record or a portion of the record.
G	QH, QWI, and QR response when file or technical problems are encountered.
H	QR response advising that the response is being delayed.

I	QH and QWI single candidate response for Purpose Code F when the record contains an IFFS status flag indicating no federally disqualifying firearms conviction and no pending court action.
J	QH, QWI, and QR reject response.
L	QH and QWI single candidate response for Purpose Code F when (a) the record indicates no federally disqualifying convictions or the record disqualification status is unknown, or (b) a multiple candidate response regardless of the IFFS status flag indication.
M	Nlets response.
N	QH, QR, QWI, and ZR no record response.
P	QR response advising that a record request will not be provided because it has been queued for 4 hours.

2.5 III ADMINISTRATIVE MESSAGES

The NCIC System sends unsolicited notifications to advise users of the III system's status. III notifications are sent to each NCIC CSA regardless of III participation.

When included in a system status administrative message, the time and date appear in the following manner:

Time appears in four numerics, <HHMM>, according to the 24-hour time system, i.e., 0001 (1 minute after midnight) to 2400 (midnight). The abbreviation EST indicates the time shown is Eastern Standard Time. The abbreviation for Eastern Daylight Time (EDT) is substituted when appropriate. The date appears in eight numeric characters representing century, year, month, and day, <CCYY/MM/DD>.

NOTE: When the NCIC sends a \$.1. notification stating that the NCIC System is out of service, the III is not accessible.

\$.U. III Out-of-Service Notification

Operator-Generated

\$.U.

```

****NOTICE---NOTICE****
NCIC III OUT OF SERVICE UNTIL 1200 EST.
WATCH FOR FULL SERVICE MESSAGE.
XXX-80-XXX

```

The sixth line of this message contains up to 80 characters of variable data describing the reason, e.g., TODAY FOR FILE MAINTENANCE.

System-Generated

\$.U.

```
****NOTICE---NOTICE****  
NCIC III OUT OF SERVICE.  
WATCH FOR FULL SERVICE MESSAGE.
```

The NCIC sends this notification when the III is out of service.

\$.V. III Return To Full Service Notification

\$.V.

```
NCIC III IN FULL SERVICE 1500 EDT 20070110.
```

The NCIC sends this notification when:

- The III has been out of service and is back in full service.
- The III has been in restricted service (a period during which only certain types of messages are accepted) and is now back in full service.

\$.W. III Restricted Service Notification

\$.W.

```
NCIC III SERVICE 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 sends this notification when the III begins restricted service.

\$.X. III Continuing Restricted Service Notification

\$.X.

```
****NOTICE---NOTICE****  
NCIC III CONTINUING RESTRICTED SERVICE UNTIL ABOUT 1900 EST.  
WATCH FOR FULL SERVICE MESSAGE.
```

The NCIC sends this notification when restricted service is extended 30 minutes or more beyond the time stated in the last \$.W. or \$.X. notification.

\$.Y. III Reopened/Full Service Notification

\$.Y.

YOUR NCIC LINE REOPENED 0900 EST.
NCIC III IN FULL SERVICE.
NCIC VEHICLE, PROPERTY AND PERSON FILES IN RESTRICTED SERVICE.

The NCIC sends this notification 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 NCIC was in service. The 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.

\$.Z. III Reopened/Restricted Service Notification

\$.Z.

YOUR NCIC LINE REOPENED 0900 EST.
NCIC VEHICLE, PROPERTY AND PERSON FILES IN FULL SERVICE.
NCIC III IN RESTRICTED SERVICE.

The NCIC sends this notification 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.

2.6 FILE/TECHNICAL PROBLEM RESPONSE

Occasionally, technical or other types of problems may prevent the III from transmitting a standard or an immediate response to a QH, QR, or a maintenance message. Whenever file or technical problems occur in the transmittal of a response, the III will notify the user with a message containing a response header beginning with "GL01."

1. Example of a Response When the III is Experiencing a File Problem

When the III experiences problems responding to an inquiry or record request, the III will send the following response:

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

2. Example of a 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 III response, III will send the following response:

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

2.7 TEST RECORDS

Specific test records have been established to allow user agencies to test the operation of III without risking the integrity of the FBI's database. These test records rather than "live" records should be used for testing and training purposes. The FBI's CJIS Division has coordinated the contents of these test records with the individual states.

2.8 III QH, QR, and ZR FORMAT REQUIREMENTS

Formats for III QH, QR, and ZR transactions 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 in which case the period is optional.
3. The period is used as a field delimiter and cannot be used within a data field.

2.9 MESSAGE FIELD CODES AND EDITS

The field edit specifications in this subsection pertain to data fields used for the III QH, QR, and ZR transactions.

Code	Field	Edits
ADR	Street Address	Mandatory when DPT, CIS, and ZIP Fields are used. Valid special characters are comma, dollar sign, ampersand, hyphen, slash, left and right parentheses, asterisk, semicolon, and plus sign.

ATN	Attention	Free text.
BLD	Building	Valid special characters are comma, dollar sign, ampersand, hyphen, left and right parentheses, asterisk, semicolon, plus sign, and slash.
CIS	City and State	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 only additional valid special character is the hyphen. Mandatory when DPT, ADR, and ZIP Fields are used.
DOB	Date of Birth	Must be a valid Gregorian date. The year of birth must not be less than 8 or more than 99 years prior to the year of inquiry.
DPT	Department	Mandatory when the ADR, CIS, and ZIP Fields are used. Valid special characters are comma, dollar sign, ampersand, hyphen, slash, left and right parentheses, asterisk, semicolon, and plus sign.
FBI	FBI Number	May be up to seven numerics or one to six numerics followed by an alphabetic character A through H; or one to six numerics followed by an alphabetic character J through Z, followed by one or two check digits; or one to six numerics followed by two alphabetic characters followed by one check digit. If the number contains one alphabetic character (J-Z), the check digit(s) will be 1 to 11. If the number contains two alphabetic characters, the first cannot be B, G, I, O, Q, S, U, Y, or Z; the second must be A, B, C, D, or E; and the check digit will be 0 to 9. The alphabetic characters I and O are always invalid.
MNU	Miscellaneous Number	The first two characters must be a valid code as listed in Personal Descriptors, <i>NCIC 2000 Code Manual</i> . The third character must be a hyphen.

NAM	Name	Valid special characters are the comma and hyphen. First position cannot be a blank, comma, or hyphen. Must contain one comma that cannot be immediately preceded or followed by a hyphen, or be immediately preceded by a space. Must not contain two or more consecutive blanks or hyphens. Hyphens must be preceded and followed by alpha characters. The <i>NCIC 2000 Code Manual</i> , Personal Descriptors, provides additional information.
ORI	Originating Agency Identifier	Must be a valid NCIC-assigned ORI.
PUR	Purpose Code	Must be A, C, D, F, H, I, J, S, V, or X.
RAC	Race	Must be a valid code as listed in Personal Descriptors, <i>NCIC 2000 Code Manual</i> .
SEX	Sex	Must be M (male), F (female), or X (unknown).
SID	State Identification Number	State Identification First two characters must be a valid state code. Imbedded blanks are not permitted. If first two characters are NY, OR, or PA, last position may be a hyphen.
SOC	Social Security Number	Must not contain 123456789, 000000000, 999999999, 111111111, or 000000001.
ZIP	ZIP Code	Mandatory when DPT, ADR, and CIS Fields are used. Must contain either 5 or 9 numeric characters.

SECTION 3--INQUIRY TO DETERMINE IF A III RECORD EXISTS (QH)

3.1 QH

1. The QH searches the III using an individual's personal identifiers (NAM, SEX, RAC, DOB), and assigned SOC, MNU, SID, and FBI. The QH is used to determine if an index record for a person's criminal history record is in the III. A positive QH response will list how many record responses to expect when the inquirer uses the QR to request the specific criminal history record.
2. In response to a QH, the III will provide one of the following:
 1. A single matching III index response.
 2. Multiple matching III index responses (up to 15).
 3. A no record response.

3. A no record response does not mean that there is absolutely no criminal history record on the individual. The records indexed in the III include 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; and numerous older records. Therefore, if an agency receives a no record response, the agency may send a fingerprint submission to the FBI 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.
4. A positive QH response provides the requester with the following:
 1. The individual's name(s), physical descriptors, and numeric identifiers.
 2. The identity of the database(s) maintaining the criminal history record information.
 3. Guidance on how to obtain the record(s).
5. When applicable, a positive QH response will also provide the requester with a Sex Offender Registry Notice and Identification for Firearms Sales information.

For example:

Sex Offender Registry notice:

*****NOTICE*****
 SUBJECT OF RECORD IS A REGISTERED SEXUAL OFFENDER

Identification for Firearms Sales information:

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

FBI	FBI/123456X11	NO DISQUALIFICATION FOR FIREARMS
VIRGINIA	STATE ID/VA12345678	DISQUALIFICATION FOR FIREARMS
GEORGIA	STATE ID/GA3332345	COURT DISPOSITION PENDING CONVICTION STATUS UNKNOWN

3.2 EXAMPLE OF A QH

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

3.3 MESSAGE FIELD CODES FOR QH

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	2-2	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NAME	CONDITIONAL	NAM	3-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
SEX	CONDITIONAL	SEX	1-1	ALPHABETIC
RACE	CONDITIONAL	RAC	1-1	ALPHABETIC
DATE OF BIRTH	CONDITIONAL	DOB	8-8	NUMERIC
SOCIAL SECURITY NUMBER	CONDITIONAL	SOC	9-9	NUMERIC
MISCELLANEOUS NUMBER	CONDITIONAL	MNU	4-15	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
STATE IDENTIFICATION NUMBER	CONDITIONAL	SID	3-10	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
FBI NUMBER	CONDITIONAL	FBI	1-9	ALPHABETIC, NUMERIC
PURPOSE CODE	MANDATORY	PUR	1-1	ALPHABETIC
ATTENTION	OPTIONAL	ATN	3-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

3.4 REQUIREMENTS FOR QH

The QH must contain the following fields: HDR, MKE, ORI, PUR, and one of the following search groups:

NAM, SEX, RAC, and DOB

NAM, SEX, RAC, DOB, and SOC

NAM, SEX, RAC, DOB, and MNU

NAM and SOC

NAM and MNU

SID or NAM and SID

FBI or NAM and FBI

Each search field must be preceded by its message field code.

If known, the inquirer should use the SID or FBI search fields to provide an exact hit and eliminate the possibility of multiple responses. If the SID or FBI Number is not known, the FBI's CJIS Division recommends the use of the first three search groups listed above to ensure maximum search potential.

3.5 QH 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:

1. NAM

1. For matching purposes, the III compares the name included in a QH with the master names and aliases contained in the III.
2. It is important that a QH contains last name, first name, and middle name or initial when available. If a QH 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. 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.

3. 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. 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.
4. Compound surnames such as SAENZ-PARADA-LOPEZ should have hyphens separating surname components. The III will create separate searches on each component.
5. The III does not search JANE DOE or JOHN DOE in the NAM Field. If used, the III will send the following reject message: UNSEARCHABLE IDENTIFIER NAM.

2. **SEX AND RAC**

A match on SEX and RAC enhances the capability to identify the correct candidate. The match on SEX and RAC is more crucial in cases where the NAM and DOB are not exact matches.

3. **DOB**

When a complete date of birth is used in a QH, the search will provide records that score sufficiently high based on matching name, sex, race, and date of birth (plus or minus 3 years on the year of birth).

The III rejects a QH with an incomplete date of birth (e.g., 19600000, 120060, 19601200, or 19600030).

4. **ADDITIONAL CRITERIA**

The III conducts a search on all identifiers when the QH 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).

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

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

2. Example of a QH and Multiple Matching Record Response:

QH:

2L01HEADERXXXX01234.QH.VAVSP0000.NAM/SAMPLE, JOHN.SEX/M.RAC/W.
DOB/19571225.PUR/C

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-	SOCIAL SECURITY	MISC NUMBERS
BIRTH DATES	TATTOOS		
1957/11/25	TAT R ARM	563-43-5916	AS-563435916
1957/10/25	TAT CHEST	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	- STATE ID/FL00000123
FBI	- FBI/9015174

END - 1ST NCIC III RECORD FOR MULTIPLE RESPONSE

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 - RETIRED 19901201

OR

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

3.9 ADDITIONAL INFORMATION

Information is provided below regarding fields contained in the QH response:

1. The QH response will include one or two types of categories of fingerprint classifications, FINGERPRINT CLASS or PATTERN CLASS, dependent upon when the record was established at the FBI's CJIS Division. For records established after July 28, 1999, the QH 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.

The PATTERN CLASS category may be up to three lines. 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.

2. The notation "IDENTIFICATION DATA UPDATED" provides the date of the latest addition, modification, or cancellation of data contained in an FBI record.
3. 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 deceased.

4. When a QH includes an SOC that contains an 8 or 9 in the first position and/or 00 in the fourth and fifth positions, the III will append the following warning caveat to the QH response immediately preceding the word END:

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.

5. In a multiple-record response, the end of the first record furnished is identified by END - 1ST NCIC III RECORD FOR MULTIPLE RESPONSE. The subsequent records will be numbered consecutively except for the final record which will be identified with END - LAST NCIC III RECORD FOR MULTIPLE RESPONSE.
6. A maximum of 15 records will be provided in a multiple record response. When 16 or more records match the QH, the following caveat will be appended to the multiple record response containing the FBI Number(s) of the additional matching records.

NOTICE: AS A RESULT OF YOUR INQUIRY THE III PROVIDED 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

SECTION 4--CRIMINAL HISTORY RECORD REQUEST (QR)

4.1 QR

1. To obtain a specific criminal history record via the III, a QR containing either the subject's FBI or SID Number is used. The FBI or SID Number may be obtained from a positive response to a QH, matching fingerprints, or from other sources available to the inquiring agency (i.e., local investigative file). The III responds 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). A positive QR response will provide the complete criminal history record (also known as a rap sheet) of the subject based on the FBI or SID Number used in the QR. The response may include portions of the record from the FBI and/or one or more III/NFF states.
2. When a record is available via the III, the III will send the requester an initial response providing a listing of the states/agencies responsible for providing CHRI. The III will also notify each state/agency that maintains a portion of the subject's record to respond to the requester with the CHRI contained in its criminal history database. These records will be provided via the Nlets. When state-maintained records are not provided immediately, an acknowledgement will be sent via the Nlets advising when the record will be provided. Should a user receive a state record that requires clarification, the Nlets Help Files include a state contact that can answer questions regarding that state's record. The Nlets Help Files can be accessed by sending an administrative message to

ORI/_ _SIRHELP using the state's code as the first two characters of the ORI.

- The FBI's CJIS Division is working jointly with III/NFF participating states to implement an Extensible Markup Language (XML) format for sending and receiving III QR responses. The FBI and III/NFF participating states may receive responses in a format that is linked to their capability to send and/or receive responses in XML format. The formats include the current state format, Nlets Presentation Format (NPF), and State Presentation Format (SPF).

4.2 EXAMPLE OF A QR

2L01HEADERXXXX01234.QR.MDBPD0000.FBI/9015174.PUR/C.ATN/DET JOHN
PUBLIC

4.3 MESSAGE FIELD CODES FOR QR

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	2-2	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
STATE IDENTIFICATION NUMBER	CONDITIONAL	SID	3-10	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
FBI NUMBER	CONDITIONAL	FBI	1-9	ALPHABETIC, NUMERIC
NAME	OPTIONAL	NAM	3-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
PURPOSE CODE	MANDATORY	PUR	1-1	ALPHABETIC
ATTENTION	MANDATORY	ATN	3-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
DEPARTMENT OR AGENCY NAME	CONDITIONAL	DPT	3-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

STREET ADDRESS OR P.O. BOX	CONDITIONAL	ADR	3-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
CITY AND STATE	CONDITIONAL	CIS	4-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ZIP CODE	CONDITIONAL	ZIP	5-5 9-9	NUMERIC
BUILDING	OPTIONAL	BLD	3-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

4.4 REQUIREMENTS FOR QR

The QR transaction must contain the following fields in the order shown: HDR, MKE, ORI, FBI or SID, PUR, and ATN Fields.

The mailing address, which includes the DPT, ADR, CIS, and ZIP Fields, is optional. If the mailing address is used, all four fields must be completed. The BLD Field is optional.

4.5 EXAMPLES OF INITIAL QR RESPONSES

1. When the FBI's CJIS Division, or the FBI's CJIS Division and One or More III States, Provides the Record

```

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

```

2. When a III State(s) Provides the Record

```

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

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 phrase "AN ADDITIONAL RECORD MAY BE OBTAINED FROM FILES WITHIN YOUR STATE" will be appended when a QR originates from a state whose SID Number is indexed in the subject's record; an exception exists for record requests from federal agencies.

3. When a Requesting Agency's State Respository Maintains the Only Record on the Subject

III state database(s) should be programmed to avoid the transmission of a QR via the III if the QR 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 is inadvertently forwarded to the III, the following is an example of the III 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. When the Record is Not Indexed in the III

Other Than Firearms-Related Record Requests

```
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
```

Firearms-Related Record Requests

```
FL01HEADERXXXX01234
MDBPD0000
ATN/DET JOHN PUBLIC
THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF
```

YOUR RECORD REQUEST FOR FBI/9126285. SUBJECT RECORD WILL BE AUTOMATED AS A RESULT OF YOUR REQUEST AND WILL BE MADE AVAILABLE VIA INTERSTATE IDENTIFICATION INDEX 2 BUSINESS DAYS AFTER YOUR RECEIPT OF THIS MESSAGE.
END

5. When the Record Has Been Removed From the III

The following is an example of a QR response when the record has been removed from the III because it has been consolidated with another record, deleted, expunged, retired, or the subject is deceased. This type of response will be provided only when the record request is made using the FBI Field, or NAM and FBI Fields. 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).

```
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 - RETIRED 19901201
END
```

OR

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

4.6 EXAMPLE OF AN FBI QR 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 9039000 State Id Number 676323 DOC Number

Social Security Number 234567890 Driver's License Number

Miscellaneous Numbers 3217 Alien Registration Unknown
3218 Marine Corps Serial Unknown

Sex Female	Race Black	Skin Tone Bro
Height 5'05"	Weight 140 Pounds	Date of Birth 1968-08-22
Hair Color Brown (19970714) 170811171103TT091611	Eye Color Brown (19970714)	Fingerprint Pattern LS LS WU RS WU RS
WU RS		

Scars, Marks, and Tattoos Code NCIC NCIC	Description, Comments, and Images SC L KNEE ; SCAR ON LEFT KNEE (WVFBINF00) 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 *****

```

===== 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 * * *

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

THIS RECORD IS SUBJECT TO THE FOLLOWING USE AND DISSEMINATION RESTRICTIONS. UNDER PROVISIONS SET FORTH IN TITLE 28, CODE OF FEDERAL REGULATIONS (CFR), SECTION 50.12, BOTH GOVERNMENTAL AND NONGOVERNMENTAL ENTITIES AUTHORIZED TO SUBMIT FINGERPRINTS AND RECEIVE FBI IDENTIFICATION RECORDS MUST NOTIFY THE INDIVIDUALS FINGERPRINTED THAT THE FINGERPRINTS WILL BE USED TO CHECK THE CRIMINAL HISTORY RECORDS OF THE FBI. IDENTIFICATION RECORDS OBTAINED FROM THE FBI MAY BE USED SOLELY FOR THE PURPOSE REQUESTED AND MAY NOT BE DISSEMINATED OUTSIDE THE RECEIVING DEPARTMENT, RELATED AGENCY OR OTHER AUTHORIZED ENTITY. IF THE INFORMATION ON THE RECORD IS USED TO DISQUALIFY AN APPLICANT, THE OFFICIAL MAKING THE DETERMINATION OF SUITABILITY FOR LICENSING OR EMPLOYMENT SHALL PROVIDE THE APPLICANT THE OPPORTUNITY TO

COMPLETE, OR CHALLENGE THE ACCURACY OF, THE INFORMATION CONTAINED IN THE FBI IDENTIFICATION RECORD. THE DECIDING OFFICIAL SHOULD NOT DENY THE LICENSE OR EMPLOYMENT BASED ON THE INFORMATION IN THE RECORD UNTIL THE APPLICANT HAS BEEN AFFORDED A REASONABLE TIME TO CORRECT OR COMPLETE THE INFORMATION, OR HAS DECLINED TO DO SO. AN INDIVIDUAL SHOULD BE PRESUMED NOT GUILTY OF ANY CHARGE/ARREST FOR WHICH THERE IS NO FINAL DISPOSITION STATED ON THE RECORD OR OTHERWISE DETERMINED. IF THE APPLICANT WISHES TO CORRECT THE RECORD AS IT APPEARS IN THE FBI'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.

2. When the QR contains Purpose Code D, the following 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.

3. When the QR contains Purpose Code X, the following caveat will be inserted immediately prior to the END in a no record 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.

4. When the QR contains Purpose Code X, the following caveat will be inserted in the III initial record 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.

Additionally, the following caveat will be inserted in the INTRODUCTION section of the record response:

THIS RECORD IS SUBJECT TO THE FOLLOWING USE AND DISSEMINATION RESTRICTIONS: 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.

5. When an FBI Number is entered in the NCIC Wanted Person File, select data from the subject's wanted notice will append to the criminal history record in the III. The wanted data will display on the FBI record response from the FBI's CJIS Division. Various types of wanted notices, including local, state, and federal notices can be entered in the Wanted Person File; the data fields in these notices vary, but the basic information is the same. Each Wanted Person File notice contains an NCIC number (NIC) that is included in the wanted data appended to the III and displayed in the FBI record. Record recipients can use the NIC to query the Wanted Person File to obtain the complete record.

In the case of state-maintained III records that contain a wanted notice, 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 record.

The following is an example of a wanted notice contained in the identification section of a record response.

```
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)
```

6. When a subject has a record in the NCIC's National Sex Offender Registry, a sex offender notice is appended to the criminal history record in III. The sex offender data will display on the FBI record response from the FBI's CJIS Division. Each sex offender notice contains an NIC that is included in the sex offender data appended to the III and displayed in the FBI record. Record recipients can use the NIC to query the NCIC's National Sex Offender Registry to obtain the complete sex offender record.

In the case of state-maintained III records that contain a sex offender notice, the state will respond to requesters with the criminal history portion of the record, and the CJIS Division will respond with the sexual offender data via the FBI record.

The following is an example of a sex offender notice contained in the identification section of the record response.

REGISTERED SEX OFFENDER POLICE DEPARTMENT NEW YORK (NY0303000)
2000-01-25 AGENCY CASE 333333 NIC/X12345678 REGISTERED AS - DUCK,
DONALD CEE REGISTRY EXPIRATION - NONEXP

4.7 EXAMPLE OF A STATE QR RESPONSE

Provided below is an example QR record response in the current state format and Nlets Presentation Format.

(Current State Format)

CR.VAIII0000
11:52 06/26/86 01054
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 APPELLATE COURT DECISION

SUPERVISION 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 *
 * *

4.8 EXAMPLE OF QR RESPONSES 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, the following is an example of the response III sends.

```
HL01HEADERXXXX01234
VAVSP0000
THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
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. The following is an example of the response the III sends.

```
PL01HEADERXXXX01234
VAVSP0000
THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
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--INQUIRY TO DETERMINE IF A RECORD CORRESPONDING TO AN FBI OR SID NUMBER IS AVAILABLE USING THE III (ZR)

5.1 INTRODUCTION

A ZR is used to determine if a record corresponding to a particular FBI or SID Number is available using the III. The response to the ZR will advise whether the record is on file. This capability is provided primarily for administrative record maintenance; however, it is available to all users.

5.2 ZR

The following is an example of a ZR.

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

5.3 MESSAGE FIELD CODES FOR ZR

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	2-2	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
STATE IDENTIFICATION NUMBER	CONDITIONAL	SID	3-10	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
FBI NUMBER	CONDITIONAL	FBI	1-9	ALPHABETIC, NUMERIC
PURPOSE CODE	OPTIONAL	PUR	1-1	ALPHABETIC

5.4 REQUIREMENTS FOR ZR

The ZR must contain the following fields: HDR, MKE, ORI, and FBI or SID Fields.

The PUR Field is optional. If the PUR Field is not included, it is considered an administrative purpose. Purpose Code C or J must be used if the ZR is not for an administrative purpose.

5.5 POSITIVE AND NEGATIVE RESPONSES

A positive response to a ZR will appear in the following format.

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

A negative response to a ZR will appear in the following format.

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

As applicable, SID will replace FBI.

5.6 ZR RESPONSE WHEN THE RECORD HAS BEEN REMOVED FROM THE III

The following is an example of a response when a record has been removed from the III as a result of a consolidation, deletion, expungement, retirement, or the subject's death. This type of response will be provided only when the inquiry is made using an FBI Number.

```
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 - RETIRED 19901201
END
```

OR

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

SECTION 6--REJECT MESSAGES

6.1 INTRODUCTION

The III sends reject messages to advise that a transaction was rejected and identify the reason(s). There are two types of reject messages: multiple-line reject messages and single-line reject messages.

6.2 MULTIPLE-LINE REJECT MESSAGES (MLRM)

The MLRM identify errors in the III transaction and include the incoming message.

In some cases, the errors detected do not prevent the system from editing the entire message. In these instances, the error list will be complete since it will identify any and all errors detected. In other cases, an error in the transaction will prevent editing beyond the field

containing the error. The error list, in these instances, may be only a partial list since it will identify only this error plus any prior errors. Before retransmitting the message, the sending agency should review its transaction to ensure that it contains no errors.

EXAMPLE OF AN INCOMING TRANSACTION AND MLRM

Transaction:

2L01HEADERXXXXX0123.QH.MD021013A.FBI/9000001.PUR/K.ATN/HAMMER

Reject:

JL01HEADERXXXXX0123
MD021013A
REJECT QH.FBI/9000001.PUR/K.ATN/HAMMER
FOR THE FOLLOWING REASON(S)
FIELD ERROR PUR
END

6.3 TYPES OF ERRORS IDENTIFIED IN MLRM

The following list furnishes the types of errors that may appear in MLRM. Where applicable, the III will replace XXX with the appropriate MFC.

1. **DUPLICATE XXX**--The same MFC appears more than once in the transaction.
2. **FBI/(FBI NUMBER) NOT ON FILE**--The FBI Number used in the transaction is not indexed in the III.
3. **FIELD ERROR XXX**--The data in the field identified by the MFC does not match the criteria for that field.
4. **INCOMPLETE DOB NOT ALLOWED**--The QH contains an incomplete date of birth.
5. **INVALID MFC XXX**--The transaction contains: (a) an invalid MFC, (b) the MFC does not agree with the MKE used, (c) the MFC is not followed by a slash, or (d) a period is erroneously included within a data field.
6. **INVALID PUR**--The ORI in the QH or QR is not authorized access for PUR/S (national security purposes).
7. **MISSING DATA XXX**--The field identified by the MFC was left blank in the transaction.
8. **NOT AUTHORIZED**--An ORI authorized III access only for national security purposes (PUR/S) used a PUR other than S.
9. **SID OR FBI NUMBER REQUIRED FOR PUR/I**--A QH containing PUR/I did not contain an SID or FBI.

10. **WRONG, MISSING, OR EXCESSIVE SEARCHABLE IDENTIFIER**--This error message will be transmitted when one of the following exists:
 - a. A required searchable identifier was missing.
 - b. Excessive searchable identifiers were used.
11. **NOT AUTHORIZED FOR PUR/I**--An ORI in a QH or QR is not authorized access for PUR/I (noncriminal justice employment/licensing).
12. **UNSEARCHABLE IDENTIFIER XXX**--The QH contains an invalid NAM or MNU.

6.4 SINGLE-LINE REJECT MESSAGES (SLRM)

The SLRM advise that the III has rejected a transaction and includes the reason on the line with REJECT. The SLRM will not contain the incoming message and will identify only one reason for the reject. The message may or may not contain the ORI from the transaction.

EXAMPLE OF AN INCOMING TRANSACTION AND SLRM WITH THE ORI SHOWN IN THE REJECT

Transaction:

2L01HEADERXXXXX.QR.VA094017B.FBI/9666000.PUR/V.ATN/HAMMER

Reject:

JL01HEADERXXXXX
VA094017B
REJECT NOT AUTHORIZED

EXAMPLE OF AN INCOMING TRANSACTION AND SLRM WITHOUT AN ORI SHOWN IN THE REJECT

Transaction:

2L01HEADERXXXXX01?2.QR.VA094017B.FBI/9666000.PUR/C.ATN/HAMMER

Reject:

JL01HEADERXXXXX01?2

REJECT HEADER ERROR

6.5 TYPES OF ERRORS IDENTIFIED IN SLRM

1. **REJECT COMPUTER ERROR--CONTACT NCIC** --A software error, database integrity error, or file problem prevents the III from completely processing the message.

2. **REJECT EQUIPMENT PROBLEM--RESEND MESSAGE** --A hardware failure prevents III from processing the transaction. The originating agency should resend the transaction.
3. **REJECT HEADER ERROR**--The first four characters of the header are other than "2L01", the header contains less than nine or more than 19 characters, or the header contains an invalid character.
4. **REJECT INVALID ORIGINATING AGENCY IDENTIFIER**--The ORI does not match the edit criteria. (Information concerning ORI edits can be found in the ORI File chapter of this manual.)
5. **REJECT MESSAGE KEY ERROR**--The incoming message does not contain a message key or contains an invalid message key.
6. **REJECT NOT AUTHORIZED**--This error message indicates one of the following:
 - a. An unauthorized ORI attempted to access the III.
 - b. An ORI is not authorized access for the specified purpose code.
 - c. An ORI is not authorized to use the MKE.