



June 30, 2014

TECHNICAL AND OPERATIONAL UPDATE (TOU) 14-5

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IMPLEMENTATION OF THE FBI UNIVERSAL CONTROL
NUMBER (FBI UCN) IN THE INTERSTATE IDENTIFICATION
INDEX (III) SYSTEM.....2-1

SECTION 1 -- MESSAGE TO CJIS SYSTEMS OFFICERS

Section 2.1 provides information on implementation of the FBI Universal Control Number (FBI UCN) in the Interstate Identification Index (III) System.

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TOUs are also available via the Law Enforcement Online (LEO) on the Law Enforcement Enterprise Portal (LEEP). To access the TOUs on the LEEP:

- Click on the LEO logo
- Click on the SIGs link
- Click by Access Type drop down arrow and select Unrestricted
- Click on the CJIS logo
- Click on the Programs tab
- Click on the National Crime Information Center (NCIC) link
- Under Documents, click on the NCIC Technical and Operational Updates

Users with questions concerning access to the LEO and LEEP should contact the LEO Operations Unit by telephone at (304) 625-5555.

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SECTION 2 – SYSTEM CHANGES

**IMPLEMENTATION OF THE FBI UNIVERSAL CONTROL NUMBER (FBI UCN)
IN THE INTERSTATE IDENTIFICATION INDEX (III) SYSTEM**

AFFECTED BY CHANGE: **III**
EFFECTIVE DATE: **June 2015**

Background

The Interstate Identification Index (III) is an integral part of the Integrated Automated Fingerprint Identification System (IAFIS) and will transition into the Next Generation Identification (NGI) system when Increment 4 of the NGI is implemented, expected in August 2014.

Historically, the III has used FBI numbers (FNU) to index a subject's criminal history record. Under the NGI system, subjects will be indexed using fingerprint-based identities and will be referenced by an FBI Universal Control Number (FBI UCN).

While, in the past, receipt of an FNU has indicated the existence of criminal history record information, the transition to a universal number in the NGI system for all identities is changing this long-standing concept. Receipt of an FBI UCN under the NGI system simply means the individual has an identity in the NGI system. The FBI UCN will be compatible with, but distinguishable from, an FNU. If an identity currently has an FNU, the FNU will be used as the FBI UCN. This change is expected to take place August 17, 2014.

Identities in the NGI system will have a unique identifying number, regardless of submission type (e.g., criminal retained fingerprint submissions, civil retained fingerprint submissions, or unsolved latent records). Criminal fingerprint submissions for new identities will be assigned an FBI UCN, and any civil fingerprint submissions that are submitted later and identified as belonging to the same individual will append to this identity/FBI UCN. The NGI system will link criminal and civil records already in existence (legacy identifiers) in the IAFIS and reference the identity using the existing FNU, which will be referenced as the FBI UCN.

System Change

Implementing FBI UCNs may require programming changes at the agency/state level to enable fluid fingerprint processing of criminal and civil prints, as well as the associated III unsolicited and maintenance messages. To fully deploy the FBI UCN in June 2015, agency and/or state systems must modify validation codes to accept both the FNU and the FBI UCN and validation codes that affect outgoing messages, including the III message keys. In the interim, the FBI CJIS Division will assign FBI UCNs using the existing FNU check digit algorithm for fingerprint submissions.

The *Electronic Biometric Transmission Specification* Field 2.014 for FBI Number will not be renamed under NGI, and the Message Field Code will remain FBI/. The information contained in this field will be the FBI UCN. The appearance of the FBI Identity History Summary (IdHS) disseminated via the III will change to reflect FBI UCN. State records may change also, depending on whether states elect to modify the appearance of this data on its rap sheets.

Manual Change(s)

Because the FNU is used throughout the *III/National Fingerprint File Operational and Technical Manual*, the traditional strikeout and replace method of update will not be used to replace every instance of FNU; rather, the *III/National Fingerprint File Operational and Technical Manual* will incorporate these changes where appropriate in a revised version in the future.

Additions to Chapter 2, the Glossary, and Appendix H of the *III/National Fingerprint File (NFF) Operational and Technical Manual* (December 2005) are indicated by **highlighting**, and deletions are indicated by ~~strikeout~~.

CHAPTER 2

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 **Universal Control Number (FBI UCN)**, 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 **UCN** or SID Number of the record's subject.

In addition to the QH and QR III 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 message is provided in the *NCIC 2000 Operating Manual* (Wanted Person File – Inquiry Section).

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~~ **subject's record** 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~~ **the record**, 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).

2.7 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 UCN or SID Number. All requests for background checks for noncriminal justice purposes must be accompanied by fingerprints. QR record request messages shall be

made only after positive fingerprint identification by the SIB. If the state agency does not make an identification, the fingerprints must be forwarded to the FBI's CJIS Division for searching.

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 FBI UCN. 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 requestor will know when all of the responses are received. Also, the QH response provides additional identifiers (aliases, dates of birth, etc.) that may not be included on the actual criminal history record response(s). A QH response will not indicate the existence of an identification history record established solely by noncriminal justice events.

A positive QH response provides the requestor 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 or identification history summary on the individual. The FBI maintains criminal history fingerprint cards on more than 50 120 million individuals. Also, more than 55 80 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 requestor 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 message 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 UCN or NAM and FBI Number UCN

*If known, the inquirer should use the SID Number or FBI Number UCN as the search field. This will provide an exact hit and eliminate the possibility of multiple responses. If the SID Number and FBI Number UCN 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 UCN 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 **UCN**, or NAM and SID will be searched on SOC, MNU, FBI Number **UCN**, or SID only; however, the inclusion of NAM with either SOC or MNU is mandatory. The inclusion of NAM with FBI Number **UCN** or SID Number is optional.

3.5 EXAMPLES – INTRODUCTION

A positive response will include the following information for each candidate: master name; FBI Number UCN; inquiry date; photo availability; sex; race; master DOB; height; weight; eye color; place of birth (POB) ; fingerprint classification (if applicable) and/or the 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.

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

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. UCN	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	SOCIAL SECURITY	MISC NUMBERS
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

NAME FBI NO- UCN 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) UCN(s) of the additional matching records.

Example:

END - LAST NCIC III RECORD FOR MULTIPLE RESPONSE

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

NOTICE : AS A RESULT OF YOUR INQUIRY THE III PROVIDES A MAXIMUM OF 15 MATCHING RECORDS. TO OBTAIN ADDITIONAL MATCHING RECORD(S), USE A SEPARATE III INQUIRY(S), CONTAINING THE FOLLOWING FBI NUMBER(S) UCN(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-	UCN	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.	UCN	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-	SOCIAL SECURITY	MISC NUMBERS
BIRTH DATES	TATTOOS		
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.	UCN	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	SOCIAL SECURITY	MISC NUMBERS
1957/11/25	TAT R ARM	666-22-6666	AS-563435916
1957/10/25	TAT CHEST	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.	UCN	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
	666-22-6666
	777-11-7777
	MISC NUMBERS
	AS-563435916
	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-	UCN	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-	SOCIAL SECURITY	MISC NUMBERS
BIRTH DATES	TATTOOS		
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~~

3.5.109 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.	UCN	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~~

3.5.120 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
```

3.5.131 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 UCN or a NAM and FBI UCN.

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

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

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

Inquiry:

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

Response:

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

Inquiry:

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

Response:

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

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 UCN or SID Number), a request of the subject's ~~CHRI record~~ using the FBI Number UCN 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 the rap sheet)~~ of the subject based on the FBI Number UCN or SID Number used in the QR record

request message. The response may include portions of the record from the FBI and/or one or more III/NFF states.

The initial III response to the QR record request message provides a listing of the states/agencies responsible for providing CHRI the record to the requester and can be used as a table of contents to ensure that all CHRI records are received. Following this initial response, each of the states/agencies that maintain a portion of the subject's record responds with the CHRI record 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 the 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 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 record via the III, a requester must use a criminal history record request (QR) message containing either the subject's FBI Number UCN or SID Number. The FBI Number UCN or SID Number used in the record request may be obtained from a QH inquiry message, matching fingerprints, or from other sources available to the inquiring agency (e.g., local investigative file).

All QR record request messages must contain the following items *in the order shown*:

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

The FBI Number **UCN** or SID Number, the purpose code (PUR), and the attention field (ATN) must be preceded by their appropriate MFCs. The use of NAM with either the FBI Number **UCN** 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~~ **Nlets**. For state-maintained records, which are not provided immediately, an acknowledgement will be sent via ~~NLETS~~ **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~~ **UCNs** 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~~ **Nlets** Help Files (Criminal History [AM]), available via ~~NLETS~~ **Nlets**, include a state contact that can answer questions regarding that state’s record.

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~~ **UCN** or SID Number included in the QR record request message is available via the III, the III will send an online response to the requester. The initial response indicates the source(s) (the FBI’s CJIS Division and/or a state[s]) from which the record will be provided. Following this response, the source(s) will individually provide its record pertaining to the subject.

**4.4.1 POSITIVE RESPONSE CONTAINING AN FBI IDENTIFICATION RECORD
~~IdHS~~**

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), furnished 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 **IdHS 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 IDENTITY HISTORY SUMMARY*****
```

Data As Of 2004-03-30

***** INTRODUCTION *****

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

```
FBI Number UCN 9039000
State Id Number 676323
Social Security Number
Date of Birth 1968-08-22
Driver’s License Number
Miscellaneous Number
Request Id 5678901234
```

SECTION 2 – SYSTEM CHANGES

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 UCN 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 UCN 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; WVFBIN00;
 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~~ IdHS, 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.)

4.4.7 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 UCN or a NAM and an FBI Number UCN.

```
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 99 110 years of age) or temporarily (e.g., if internal corrections are needed and the record must be reentered).

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

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

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

For programming information and examples of state specific output of record responses via the III for Purpose Codes C and A, please reference the *Interstate Criminal History Transmission Specification*, 4.1, maintained by the International Justice and Public Safety Network (Nlets) at:

[http://wiki.nlets.org/index.php.section_15:_criminal_history_record_information_transactions_\(CHRI\)#criminal_history_record_information_transactions_.28chri.29_.28iq.2fir.2c_.2fq.2ffr.2c_aq.2far_.26_cr.29](http://wiki.nlets.org/index.php.section_15:_criminal_history_record_information_transactions_(CHRI)#criminal_history_record_information_transactions_.28chri.29_.28iq.2fir.2c_.2fq.2ffr.2c_aq.2far_.26_cr.29).

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

Inquiry:

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

Response:

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

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

SECTION 5 – QWI INQUIRY MESSAGE**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. UCN 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 **UCN** or SID Number is available via the III. The response to the ZR inquiry message will advise whether the record is on file. This capability is provided primarily for administrative record maintenance; however, it is available to all users.

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

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

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 UCN.

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

7.2 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	--
NCDCI0000.	Designated State Agency Identifier	--
* FBI/9006600.	FBI Number	FBI/
** PUR/A	Purpose Code	PUR/

* The SID Number may be used in lieu of the FBI Number **UCN**. 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.

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

7.3 EXAMPLE POSITIVE RESPONSE

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

```

9L01HEADERXXXX01234
NCDCI0000
IDENTIFICATION SEGMENT III RECORD OF FBI/9006600 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.

Code Description

- 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 UCN 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.”

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

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 UCN when the record is no longer in the III because it has been consolidated with another record, deleted, expunged, or the subject is deceased. Inquiries made by an agency with a SID Number will result in an NL01 type response because SID Numbers are retained only for audit (synchronization) purposes.

```
2L01HEADERXXXX01234
NCDCI0000
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF
YOUR INQUIRY ON FBI/9015174 PUR/A
```

```
RECORD NO LONGER ON FILE - CONSOLIDATED WITH FBI/9026285 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 UCN is a single-source or multi-source record. The use of the ZRS inquiry message is limited to III participating states. A ZRS inquiry message is also used to verify the status of a III record and to generate receipt of a \$.A.SSO (single-source) or \$.A.MSO (multi-source) message.

8.2 ZRS INQUIRY

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

The following example contains the data elements necessary for a ZRS inquiry message. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an 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 UCN may be used in lieu of a SID Number. When used, the FBI Number UCN must be preceded by FBI/. Since an FBI pseudo-pointer for state data is not a SID Number, it cannot be used in the SID Field.

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

8.6 ZRS INQUIRY MESSAGE RESPONSES USING AN FBI NUMBER UCN

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

```
5L01HEADERXXXX01234
VAVSP0000
FBI/9015174 ON FILE III RECORD IS SINGLE-STATE (OR 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 UCN is on file but the III record contains (1) only an FBI pseudo-pointer for the state, (2) no SID Number or FBI pseudo-pointer for the state, or (3) a SID Number that is associated with a subject 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 UCN is not on file:

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

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

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

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

**III/NFF MANUAL
GLOSSARY
DEFINITION OF TERMS**

FBI UCN – Acronym for FBI Universal Control Number (FBI UCN). In August 2014, the Integrated Automated Fingerprint Identification System transitioned into the Next Generation Identification (NGI) System. Historically, the FBI used FBI numbers to index a subject's criminal history record. Under the NGI system, the FBI began to index subjects based on fingerprint-based identities referenced by an FBI UCN. The presence of an FBI UCN in the NGI System means the individual has an identity in the NGI System and does not indicate whether the identity is associated with a record that is criminal, civil, or both.

**III/NFF MANUAL
APPENDIX H**

CHECK DIGIT ROUTINES- ~~FBI NUMBERS~~ FBI UNIVERSAL CONTROL NUMBER (FBI UCN)

LEGACY FBI NUMBER FORMATS

Historically, An FBI Number is was assigned to an individual when his/her information in was 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 the FBI Numbers: all of these formats currently reside in the III. These formats are outlined below:

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 UCN Format

In August 2014, the Integrated Automated Fingerprint Identification System (IAFIS), and subsequently the III, transitioned into the Next Generation Identification (NGI) System. Historically, the FBI used FBI numbers to index a subject's criminal history record. Under the

NGI System, the FBI began to index subjects based on fingerprint-based identities referenced by an FBI UCN. The presence of an FBI UCN in the NGI System means the individual has an identity in the NGI System and does not indicate whether the identity is associated with a record that is criminal, civil, or both.

The FBI UCNs must be unique, and the format cannot convey when the FBI UCN was assigned or the type of any event associated with the identity. The FBI UCN must be random. Also, the FBI UCNs must have a check character to assist in identifying invalid FBI UCNs.

In addition to these requirements, the following characteristics were considered in developing and assigning the FBI UCNs:

- Restricting the format to 9 alphanumeric characters to be compatible with existing *Electronic Biometric Transmission Specification* identifier fields. The first eight characters will be uniquely selected from a limited character set, and the ninth character will be a calculated check character.
- Allowing contributors to continue to reference identities using legacy IAFIS identifiers, e.g., FNUs.

The FBI UCN is defined as:

$$\text{FBI UCN} = U_7U_6U_5U_4U_3U_2U_1U_0U_c$$

Where:

$U_x \in \{0,1,2,3,4,5,6,7,8,9,A,C,D,E,F,H,J,K,L,M,N,P,R,T,V,W,X\}$

U_0 through U_7 are randomly assigned from this set such that the FBI UCN is unique and does not match any excluding strings or ranges (explained below).

The check character, U_c , is calculated as follows:

$$V(U_c) = (V(U_7)*2 + V(U_6)*4 + V(U_5)*5 + V(U_4)*7 + V(U_3)*8 + V(U_2)*10 + V(U_1)*11 + V(U_0)*13) \text{ MOD } 27$$

Where:

$V(U_x)$ comes from the **Table – 1 FBI UCN Check Digit Lookup**

U_c is found by lookup of the calculated $V(U_c)$ in **Table – 1 FBI UCN Check Digit Lookup**

Table – 1 FBI UCN Check Digit Lookup

U_x	$V(U_x)$
0	0
1	1
2	2
3	3
4	4
5	5
6	6

7	7
8	8
9	9
A	10
C	11
D	12
E	13
F	14
H	15
J	16
K	17
L	18
M	19
N	20
P	21
R	22
T	23
V	24
W	25
X	26

The following is an example illustrating the check character calculation:

Compute the FBI UCN check character for “1234ACDE”

$$\begin{aligned} V(U_c) &= (1*2 + 2*4 + 3*5 + 4*7 + 10*8 + 11*10 + 12*11 + 13*13) \text{ MOD } 27 \\ &= 544 \text{ MOD } 27 \\ &= 4 \end{aligned}$$

$U_c = “4”$ (found by equating the $V(U_x)$ value in **Table – 1 FBI UCN Check Digit Lookup** to the corresponding U_x)

UCN = 1234ACDE4

The set of FBI UCN characters is consistent with those allowed for current FNUs, in restricted positions, that eliminate potentially confusing pairs such as the digit “0” and the letter “O” or the digit “8” and the letter “B.” The check character calculation is based on a combination of Luhn and Mod X algorithms which are commonly applied in industry.

Many legacy identifiers are known by internal and external contributors and the NGI system must support the ability to continue to use these identifiers as references to the NGI system. As such, the NGI system will handle legacy identifiers in one of the two following ways:

1. If the legacy identifier is consistent with FBI UCN parameters, the legacy identifier will become the FBI UCN.

2. If the legacy identifier is not consistent with the FBI UCN parameters, the NGI will assign a new UCN to the identifier and will link to the legacy identifier.

Table – 2 Identifier Transition Approach summarizes the approach, strategy, and rationale for transitioning existing identifiers.

Table – 2 Identifier Transition Approach

Legacy Identifier	Identifies	Transition Strategy	Rationale
FNU	Criminal subjects	Maintain FNU as FBI UCN	Maintained in contributor files. Primary identifier for communication with contributors.
Civil Record Number (CRN)	Civil subjects	Assign FBI UCN; maintain CRN as “other identifier”	CRNs are not used outside the FBI. Translation can occur for legacy references.
Special Population Cognizant (SPC) numbers	SPC subjects	Assign FBI UCN; maintain CRN as “other identifier”	SPC numbers are not used outside the FBI. Translation can occur for legacy references.