

*NCIC 2000*  
*INTRODUCTION*

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**SECTION 1--WHAT IS NCIC 2000?**

**1.1 DEFINITION**

1. The National Crime Information Center (NCIC) 2000 is the System replacing the NCIC System. NCIC 2000 has the same mission and the same basic functionality as NCIC, but also features new capabilities which are described in this operating manual. Just as NCIC, NCIC 2000 is a nationwide, computerized information system established as a service to all criminal justice agencies--local, state, and federal. The goal of NCIC 2000 is to help the criminal justice community perform its duties by providing and maintaining a computerized filing system of accurate and timely documented criminal justice information. For NCIC 2000 purposes, criminal justice information is defined as "information collected by criminal justice agencies that is needed for the performance of their legally authorized, required function. This includes wanted person information; missing person information; unidentified person information; stolen property information; criminal history information; information compiled in the course of investigation of crimes that are known or believed on reasonable grounds to have occurred, including information on identifiable individuals; and information on identifiable individuals compiled in an effort to anticipate, prevent, or monitor possible criminal activity." The NCIC 2000 data bank can best be described as a computerized index of documented criminal justice information concerning crimes and criminals of nationwide interest and a locator file for missing and unidentified persons.
2. The structure and basic procedures of the NCIC System were approved by resolution of the full membership of the International Association of Chiefs of Police in Philadelphia, Pennsylvania, in October 1966 and apply to the new NCIC 2000 System. General policy concerning the philosophy, concept, and operational principles of the System is based upon the recommendations of the Criminal Justice Information Services (CJIS) Advisory Policy Board (APB) to the Director of the FBI. The APB is comprised of top administrators from local, state, and federal criminal justice agencies throughout the United States. Through the APB, its Subcommittee and Working Group input, changes in current applications, the addition of new files, and new procedures, e.g., edits, codes, validations, are coordinated with all NCIC and NCIC 2000 participants.
3. The NCIC 2000 System stores vast amounts of criminal justice information which can be instantly retrieved by and/or furnished to any authorized agency.
4. The NCIC 2000 System serves criminal justice agencies in the 50 states, the District of Columbia, Puerto Rico, and Canada. Through established state systems, the NCIC 2000 System has become available for use by all criminal justice agencies.

Access to the NCIC 2000 Vehicle, Boat, Vehicle/Boat Part, and License Plate Files by specific foreign nations is provided through INTERPOL.

## **1.2 DATA AND PROBABLE CAUSE**

1. An NCIC 2000 hit alone is not probable cause to arrest, but indicates that a stolen property report, missing person report, or warrant, etc. may have been filed. A hit is only one element comprising sufficient legal grounds for probable cause to arrest.
2. Correct NCIC 2000 procedure requires the agency which placed the record in file be contacted by the inquiring agency to confirm that the data are accurate and up-to-date. In some circumstances, the hit confirmed with the originating agency may be the major or only element necessary to detain or make an arrest. For instance, a confirmation of an outstanding warrant on an individual or a hit confirmed on a stolen vehicle or stolen property in a timeframe very close to the time of an actual theft would likely support an arrest decision. The confirmation of a hit on a person file record, regardless of how long it had been in the System, would be enough cause to take appropriate action. However, when attempting to recover the stolen property record that had been in the System one or two years, the officer would need not only the element of the hit but also additional facts adding up to probable cause. For instance, a hit on a record two years after a vehicle was stolen would in itself be inadequate probable cause for an arrest, since it would be possible or even probable the vehicle was then in the possession of an innocent purchaser rather than the original thief. To make an arrest under these circumstances, the officer would need not only the element of the hit but also additional facts adding up to probable cause. A hit confirmed with the originating agency can be adequate grounds to recover stolen property, return a missing person, arrest a fugitive, or charge a subject with violation of a protection order.
3. Files, such as the Violent Gang and Terrorist Organization, Convicted Person on Supervised Release, Convicted Sexual Offender Registry, Protection Order, and US Secret Service Protective, do not require hit confirmation and are designed to provide law enforcement officers with adequate warning regarding individuals who have had involvement in criminal activities or are known to represent potential danger to the public.

## **1.3 RESPONSIBILITY FOR RECORDS**

1. NCIC 2000 records must be kept accurate and up-to-date. Agencies that enter records in the NCIC 2000 System are responsible for their accuracy, timeliness, and completeness. To facilitate compliance with hit confirmation requirements, the originating agency must be available 24 hours a day to confirm its record entries. Nonterminal agencies must sign a "Holder of the Record" agreement with a 24-hour agency delineating the responsibility for hit confirmation. Originating agencies that are not available 24 hours must place instructions for after-hour hit confirmation, e.g.

a 24-hour contact telephone number or an Originating Agency Identifier (ORI) in the Miscellaneous Field.

2. Stringent administrative procedures and controls to ensure that accurate data are entered in computerized criminal justice information systems are important. An officer's evaluation of the information contained in a hit response is just as important as keeping the information accurate, timely, and complete. Combining stringent administrative controls with proper evaluation by the officer receiving the hit can prevent lost court cases, civil liability suits, false arrests, and criminal charges against the law enforcement officer.
3. The FBI, as manager of the NCIC 2000 System, helps maintain the integrity of the System through:
  1. Automatic computer edits which reject records with certain common types of errors in data;
  2. Automatic purging of records after they are on file for a prescribed period of time;
  3. Quality control checks by FBI personnel; and,
  4. Distribution of records to be validated. (Details concerning quality control and validation procedures appear in Section 3 of this Introduction.)
4. The NCIC 2000 System makes centralized crime data immediately available to the criminal justice community. The success of the System depends upon the extent to which patrol officers, investigators, judges, prosecutors, corrections officers, and other criminal justice agency officials intelligently use it in day-to-day operations.
5. This manual contains instructions designed to guide participants in using the NCIC 2000 System. No system can be expected to produce results unless it is properly used. The standards and procedures set forth should be strictly followed as every exception tends to degrade the System and the integrity of the data stored in the System.
6. All inquiries regarding the NCIC 2000 System should be addressed to the FBI, CJIS Division, Attention: NCIC 2000, Module E-3, 1000 Custer Hollow Road, Clarksburg, West Virginia 26306-0153.

#### **1.4 SYSTEM DESCRIPTION**

1. System participants include local, state, and federal criminal justice agencies throughout the United States, Puerto Rico, and Canada.

2. Most records are placed directly into the NCIC 2000 System by an originating agency (agency holding warrant, missing person report, or theft report; registration information on convicted sexual offender, convicted person on supervised release, etc.), through a control terminal tied into the network. Entries for the Originating Agency Identifier (ORI) File are made by FBI CJIS staff. Records for fugitives wanted by foreign countries are entered either by the Royal Canadian Mounted Police or the U.S. National Central Bureau, INTERPOL. U.S. Secret Service Protective File records are entered by that agency. Records on deported felons are entered by the Immigration and Naturalization Service. Interstate Identification Index (III) records are placed on file by the FBI based on fingerprint cards submitted by the states. The records entered must meet the criteria established for the particular type of record involved. Inquiries must contain prescribed identifying data.
3. NCIC 2000 provides virtually uninterrupted operation 24 hours a day, 7 days a week. Communication lines and associated costs from the NCIC 2000 computer to the control terminals are borne by the FBI.
4. The FBI NCIC 2000 computer equipment can interface with control terminal equipment manufactured by many of the major computer firms. System participants are not required to use the same make computer equipment as that used by the FBI. The only requirement is that terminal equipment be able to communicate with either 8 level ASCII Bisynchronous computer to computer (BiSync), Transmission Control Protocol/Internet Protocol (TCP/IP), or IBM System Network Architecture (SNA) protocol.

## **1.5 POLICY**

1. The CJIS APB recommends general policy to the FBI with respect to the philosophy, concept, and operational principles of the NCIC 2000 System. In its deliberations, the APB places particular emphasis on the continued compatibility of NCIC 2000 and state systems; System security; and rules, regulations, and procedures to maintain the integrity of NCIC 2000 records.
2. The CJIS Advisory Process is composed of two major components, the CJIS APB and the CJIS Working Groups. The APB is responsible for reviewing policy issues and appropriate technical and operational issues related to the programs administered by the FBI CJIS Division and, thereafter, for making appropriate recommendations to the FBI Director. The 32-member CJIS APB is composed of the following:
  1. Twenty criminal justice agency representatives who are selected by the CJIS Working Groups and appointed by the FBI Director. (Twelve are state-level agency representatives, and eight are local-level agency representatives.)

2. Three individuals who are selected and appointed by the FBI Director and represent the judicial, the prosecutorial, and correctional sector of the criminal justice community.
3. Eight individuals who represent professional associations including the International Association of Chiefs of Police, National Sheriffs' Association, National District Attorneys' Association, American Probation and Parole Association, Major Cities Chiefs' Association, the Major County Sheriffs' Association, American Society of Crime Laboratory Directors, and one executive level representative from a national professional association representing the courts or court administration.
4. The Chairman of the CJIS Federal Working Group.
3. A Federal Working Group and four regional Working Groups were established to recommend policy and procedures for the programs administered by the FBI CJIS Division. These Working Groups are also responsible for the review of operational and technical issues related to the operation of or policy for these programs. The Working Groups make appropriate recommendations to the CJIS APB.
4. To gain insight and direction into specific program-related issues, the APB receives input from standing Subcommittees. These are the NCIC, Identification Services, Sanctions, Security and Access, and Uniform Crime Reporting Subcommittees.

## **1.6 SYSTEM SECURITY**

1. There is no federal legal or policy prohibition against dissemination of information contained in NCIC 2000 files. If no state/local law or policy prohibition exists, authorized indirect dissemination of NCIC 2000/III records is discretionary with the Control Terminal Agency (CTA). Such information may be withheld because of criminal justice priorities, budgetary limitations, or other reasons determined by the CTA to be legitimate.
2. An agency participating in the NCIC 2000 System as a CTA must assume responsibility for and enforce System security with regard to all other agencies which it, in turn, services. The responsibilities of NCIC 2000 CTAs are outlined in Section 4 of this Introduction.
3. The FBI uses hardware and software controls to help ensure System security. However, final responsibility for the maintenance of the security and confidentiality of criminal justice information rests with the individual agencies participating in the NCIC 2000 System. Further information regarding System security can be obtained from the CJIS Security Policy.

4. All state and local agencies participating in the NCIC 2000 System III File are required to adhere to the security guidelines as set forth in the publication, *NCIC: Computerized Criminal History Program Background, Concept and Policy*, and in Subparts A and C of the United States Department of Justice Regulations governing the dissemination of criminal records and criminal history information (Regulations) published in the *Federal Register* on May 20, 1975, and August 7, 1976 (Title 28, Code of Federal Regulations, Part 20). Copies of these documents may be obtained from the FBI CJIS Division, 1000 Custer Hollow Road, Clarksburg, West Virginia 26306. Additional guidelines for state III Files appear in the Regulations published in the *Federal Register* on March 19, 1976. Additional security guidelines can be found in the CJIS Security Policy.
5. The data stored in the NCIC 2000 System and the III File are documented criminal justice information and must be protected to ensure correct, legal, and efficient dissemination and use. It is incumbent upon an agency operating an NCIC 2000 terminal to implement the necessary procedures to make that terminal secure from any unauthorized use. Any departure from this responsibility warrants the removal of the offending terminal from further NCIC 2000 participation.
6. Information can be obtained from NCIC 2000 and the III File both directly and indirectly. Direct access is terminal access and dissemination within that terminal agency. Indirect access is nonterminal access outside of an agency with direct access.
7. The individual receiving a request for criminal justice information must ensure that the person requesting the information is authorized to receive the data. Dissemination of most file data are discretionary with the CTA, whereas NCIC 2000 Convicted Person on Supervised Release, Convicted Sexual Offender Registry, Violent Gang and Terrorist Organization, inactive Protection Order, and III File data are confidential and should be treated accordingly. Unauthorized request or receipt of NCIC 2000 material could result in criminal proceedings brought against the agencies and/or the individuals involved.

## **1.7 SYSTEM DISCIPLINE**

1. To help ensure the proper operation of the NCIC 2000 System, the standards, procedures, formats, and criteria mentioned in this manual must be strictly followed. In this respect, NCIC 2000 CTAs must not only follow the rules set forth but must also ensure that agencies they are servicing do the same.
2. Complete, accurate, and timely records are essential to ensure System integrity. Users also are encouraged to enter records in a timely manner to afford the maximum protection to the law enforcement officer by providing up-to-date information. Although the use of NCIC 2000 is voluntary, delayed entry of records in NCIC 2000 reduces or eliminates the possibility of apprehending wanted persons, locating missing persons, and recovering stolen property.

3. Promptness in modifying, locating, or clearing records in the System will help to keep the System free of outdated information.
4. NCIC 2000 provides information for decisionmaking by investigators, patrol officers, judges, prosecutors, and corrections officials. The information furnished by NCIC 2000 must be evaluated along with other facts known to the officers, investigators, judges, prosecutors, and corrections officials.
5. When an agency receives a positive response from NCIC 2000 and an individual is being detained or a piece of property can be seized, an immediate confirmation with the agency that originated the record in the System is necessary. This confirmation ensures the validity of the hit before an arrest or seizure is made. Likewise, the originating agency has the duty to respond promptly with the necessary confirmation and other pertinent details. (Hit confirmation procedures can be found in Section 3 of this Introduction.)

## SECTION 2--NCIC 2000 MESSAGES

### 2.1 TYPES OF MESSAGES

There are six types of messages pertaining to NCIC 2000 that can originate from a user and can be transmitted to the NCIC 2000 System: entry, modification, cancellation, inquiry, locate, and clear. There are three types of messages that originate from the NCIC 2000 System: acknowledgment messages, inquiry responses, and administrative messages.

Throughout this document, messages are specified as being in an NCIC or an NCIC 2000 format when a difference exists. The header preceding a message is the first indicator of the message format: 1L01 starts the header of an NCIC message; 1N01 starts the header of an NCIC 2000 message. All responses to these transactions are in NCIC 2000 format and the header begins with 1L01. A discussion of the various types of NCIC 2000 messages follows.

### 2.2 ENTRY

The purpose of an entry message is to place a new record in file or to append supplemental records to those already on file.

Entry messages and acknowledgments, including examples, are further explained in the Entry Section of each NCIC 2000 file chapter.

### 2.3 MODIFICATION

The purpose of a modification message is to add, delete, or change a portion of data which are part of a record. A record may be modified only by the agency that entered the record as long as the record is in active status. The only exceptions are modifications to ORI records. All ORI entries are made by FBI CJIS, but modifications may be made by the agency assigned the ORI.

Modification messages and acknowledgments are further explained in the Modification section of each NCIC 2000 file chapter.

### 2.4 CANCELLATION

The purpose of a cancellation message is to remove an entire record or supplemental record(s) from any file. Additionally, a cancellation message is used to clear NCIC add-on vehicle and boat records. When a record is canceled, all supplemental records appended to it are also automatically canceled. A record may be canceled only by the agency that entered the record. However, the FBI Data Integrity Staff may cancel a record when a serious error is detected. (The \$.E. administrative message can be found in Section 2 of this Introduction.) A record should be canceled when it is determined to be invalid; for example, the warrant which was the basis for the record has been dismissed, or the record is the result of a fictitious theft report.

Cancellation messages and acknowledgments are further explained in the Cancellation section of each NCIC 2000 file chapter.

## **2.5 INQUIRY**

Four types of inquiries may be made into the NCIC 2000 System:

### **1. On-line Inquiries**

These are queries into NCIC 2000 databases for which the user expects immediate reply. There are two types of on-line inquiry messages:

1. Z inquiry (ZW, ZV, ZG, etc.) -- Initially intended to be used for administrative purposes and for training, demonstrations, and display of records for validation and/or review.
2. Q inquiry (QW, QV, QG, etc.) -- Intended to be made for all other inquiry transactions.
3. Both Z and Q inquiries are now processed exactly the same way.

### **2. On-line Requests for Off-line Searches**

These queries include special request inquiry, also known as Global Inquiry or SPRQ, which can be initiated by a CTA to obtain information that cannot be retrieved through a normal inquiry. SPRQ transactions can be made against:

1. Active Records
2. Retired Records
3. Message Logs

### **3. On-line Requests for Statistical Data**

These requests include Usage Analysis, Error Trend Analysis, and Benefits and Effectiveness. The requests are submitted on-line and the results are obtained by file transfer. These inquiries are limited to CTAs only.

### **4. On-line Requests for Batched Inquiries**

These requests (batch inquiry is grouping several on-line inquiries into one) may be made by all users, allowing them to group several inquiries on the same database. The purpose of an on-line or a batch on-line inquiry is to search an NCIC 2000 file(s) for a record possibly identifiable with information available to the inquiring agency.

The MKE for batch inquiry is a three-letter code consisting of the regular inquiry MKE and ending with a B for BATCH. For example: QWB, batch wanted person inquiry; QAB, batch article inquiry.

## **5. Negative Response to an On-line Inquiry**

1. A negative response is transmitted when no record match is found in NCIC 2000. A negative response to a person file inquiry (Foreign Fugitive, Missing Person, Wanted Person, etc.) contains a header, the ORI of the inquiring agency followed by NO NCIC WANT with each searchable numeric identifier inquired upon. This is a general person inquiry and searches all person files.
2. A negative response for a specific person file, such as VGTOF-Gang Reference, Gang Member, Protection Order, and Convicted Sexual Offender Registry, contains a header, the ORI of the inquiring agency followed by NO NCIC GANG FILE RECORD; NO NCIC VGTOF RECORD; NO NCIC PROTECTION ORDER FILE RECORD; or NO NCIC SEXUAL OFFENDER FILE RECORD followed by the searchable identifiers included in the inquiry.
3. A negative response to a property file inquiry contains a header, the ORI of the inquiring agency followed by NO RECORD with each searchable identifier or set of searchable identifiers inquired upon. A negative response to an NCIC 2000 on-line inquiry, however, should not be relied upon as an indication that the person or property inquired upon is not wanted, missing, or stolen, or that no criminal history record exists. As with a positive response, a negative response should not be used as the sole basis for decisionmaking by the receiving officer.

## **6. Positive Response to an On-line Inquiry**

A positive response is transmitted when a record(s) is found in NCIC 2000. A positive response contains a header, the ORI of the inquiring agency followed by an alert(s) (if applicable), the record in file, and an IMMED CONFIRM message:

1. IMMED CONFIRM MISSING PERSON STATUS WITH ORI

This message appears after each missing person record in the response. The phrase is a reminder to the inquiring agency that it must immediately contact the agency(s) that entered the record(s) to assure that there has been no change in the missing person's status and to verify the subject's identity.

2. IMMEDIATE CONFIRM WARRANT AND EXTRADITION WITH ORI

This message appears after each wanted person record in the response. The phrase is a reminder to the inquiring agency that it must immediately check with the agency(s) that entered the wanted person record(s) to verify the identity of the individual, determine if there has been any change in the status of the warrant, and, if applicable, obtain extradition details. If the Miscellaneous Field (MIS) contains NOEX, confirmation may be required intrastate; however, no action should be taken to detain the person based on an interstate hit.

3. IMMEDIATE CONFIRM RECORD WITH ORI AND FOLLOW PROCEDURES IN INTERSTATE COMPACT ON JUVENILES

This message appears after each juvenile offender (MKE/EWJ) record in the response. It reminds the inquiring agency that it must immediately check with the entering agency to determine if there has been a change in the status of the record. In addition, it also advises the inquiring agency to follow the guidelines as written in the Interstate Compact on Juveniles.

4. IMMEDIATE CONFIRM RECORD WITH ORI AND FOLLOW PROCEDURES IN INTERSTATE COMPACT ON JUVENILES.  
CAUTION: THIS JUVENILE IS EMANCIPATED.  
PLEASE CHECK YOUR STATE LAWS REGARDING APPROPRIATE ACTION

This message follows a juvenile offender (MKE/EWJ) record when the juvenile has been emancipated. It reminds the inquiring agency to check with the entering agency to determine if there has been a change in the record's status.

5. IMMEDIATE CONFIRM RECORD WITH ORI

This message follows each property file record in the response. The phrase is a reminder to the inquiring agency that it must immediately contact the agency(s) that entered the record(s) to assure that no change in status has taken place.

6. WARNING - DO NOT ARREST BASED ON THIS INFORMATION

This message precedes a Canadian warrant record.

REPEAT - WANTED IN CANADA - DO NOT ARREST BASED ON THIS INFORMATION - IMMEDIATELY CONTACT RCMP, OTTAWA, CANADA TEL NO. (613)998-6200. IF THE SUBJECT IS NOT U.S. CITIZEN, CONTACT NEAREST OFFICE OF U.S. IMMIGRATION AND NATURALIZATION SERVICE

This message appears after each Canadian warrant record in the response. The phrase is a reminder to the inquiring agency that the fugitive is wanted on a Canadian warrant, and no arrest can be executed in the United States based on the Canadian warrant.

RECORD NIC/R123456789 IS A CANADIAN VEHICLE INDEX RECORD  
CONFIRM RECORD WITH ORI

or

RECORD NIC/R123456789 IS A CANADIAN BOAT INDEX RECORD  
CONFIRM RECORD WITH ORI

or

RECORD NIC/R123456789 IS A CANADIAN LICENSE PLATE INDEX  
RECORD  
CONFIRM RECORD WITH ORI

or

RECORD NIC/R123456789 IS A CANADIAN VEHICLE/BOAT PART  
INDEX RECORD  
CONFIRM RECORD WITH ORI

One of these messages appears before each positive response from the Canadian Vehicle Index.

REPEAT - THIS IS A CANADIAN RECORD - CONFIRM WITH THE  
ORIGINATING AGENCY IN CANADA

This message follows each Canadian Vehicle Index record response.

8. WARNING-DO NOT ARREST OR DETAIN BASED SOLELY UPON THIS  
INFORMATION

This message precedes a U.S. Secret Service Protective File record response.

/REPEAT - DO NOT ARREST OR DETAIN BASED SOLELY UPON THIS  
INFORMATION/  
CALL COLLECT U.S. SECRET SERVICE HEADQUARTERS,  
TEL NO. (202) 435-5000  
WHICH HAS BEEN NOTIFIED OF THIS TRANSACTION.  
THIS RECORD IS FOR CRIMINAL JUSTICE AGENCIES FOR CRIMINAL  
JUSTICE PURPOSES  
/DO NOT DISSEMINATE OR USE FOR LICENSING AND EMPLOYMENT  
PURPOSES/

This message appears after each U.S. Secret Service Protective File record in the response. The phrase is a reminder to the inquiring agency that the Secret Service has interest in the subject of the record, and no arrest should be made based on the information received.

9. WARNING - DO NOT ARREST BASED UPON THIS FOREIGN FUGITIVE  
RECORD

This message precedes a Foreign Fugitive record response.

REPEAT -- DO NOT ARREST BASED SOLELY UPON THIS INFORMATION/FUGITIVE FROM A FOREIGN COUNTRY - IMMEDIATELY CONTACT INTERPOL, U.S. DOJ, NLETS ORI/DCINTER00, OR TEL. NO.(202)616-9000. ALSO, IF THE SUBJECT IS NOT A U.S. CITIZEN, CONTACT THE NEAREST OFFICE OF THE U.S. IMMIGRATION AND NATURALIZATION SERVICE.

This message appears after each Foreign Fugitive File record (other than Canadian) in the response. The phrase is a reminder to the inquiring agency that INTERPOL has an interest in the subject of the record, and no arrest should be made based on the information received.

10. **Note:** The following message will not appear in any response to a query made against the active database. However, it may be included in a response to a Global Inquiry (SPRQ) against retired data. The Violent Felon Data File has been discontinued, and active records have been purged from the current database.

\*\*\*\*\*WARNING--YOUR SUBJECT MAY BE A VIOLENT CONVICTED FELON.\*\*\*\*\*  
 RECORD NIC/F123456789 FOLLOWS. DO NOT SEARCH, DETAIN OR ARREST BASED SOLELY ON THIS RECORD. RECORD SUBJECT HAS MULTIPLE CONVICTIONS FOR VIOLENT FELONIES AND/OR SERIOUS DRUG OFFENSES. RECORD SUBJECT MAY BE ARRESTED ON FEDERAL FELONY CHARGES IF IN POSSESSION OF A FIREARM. CHECK YOUR SUBJECT'S IDENTITY USING PERSONAL DESCRIPTORS. IF YOUR SUBJECT IS THE RECORD SUBJECT AND IF YOUR SUBJECT IS IN POSSESSION OF A FIREARM, IMMEDIATELY CONTACT BUREAU OF ALCOHOL, TOBACCO AND FIREARMS AT 1-800-659-6242.

This message appears before each ATF Violent Felon File record in the response. The phrase alerts inquiring agency that detainee may be violent.

\*\*\*\*\*THIS RECORD MAY BE USED ONLY BY CRIMINAL JUSTICE AGENCIES FOR CRIMINAL JUSTICE PURPOSES.\*\*\*\*\*

This message appears at the end of each ATF Violent Felon File record response.

11. WARNING - STANDING ALONE, NCIC VIOLENT GANG AND TERRORIST ORGANIZATION FILE INFORMATION DOES NOT FURNISH GROUNDS FOR THE SEARCH OR SEIZURE OF ANY INDIVIDUAL, VEHICLE OR DWELLING

This message appears before each Violent Gang and Terrorist Organization File, Group Member Capability record in the response.

12. WARNING - SUBJECT OF NIC/N307770847 IS A PREVIOUSLY DEPORTED CRIMINAL ALIEN. FEDERAL LAW 8 USC 1252C PROVIDES, IF PERMITTED BY STATE AND LOCAL LAW, A STATE OR LOCAL LAW ENFORCEMENT OFFICIAL MAY ARREST AND DETAIN THE SUBJECT BUT ONLY AFTER THE ALIEN'S STATUS IS CONFIRMED WITH INS. IF PERMITTED WITHIN YOUR JURISDICTION, OR IF SUBJECT HAS BEEN

ARRESTED OR DETAINED ON OTHER GROUNDS, CONTACT (202) 616-5000 TO CONFIRM HIT. IF SUBJECT IS BEING RELEASED, OBTAIN ADDRESS, VEHICLE, LICENSE, AND ANY OTHER DOCUMENT INFORMATION AND FORWARD TO INS VIA NLETS AT ORI USINS0000.

This message appears before each Deported Felon File record in the response.

\*\*\*\*\*THIS RECORD MAY BE USED ONLY BY CRIMINAL JUSTICE AGENCIES FOR CRIMINAL JUSTICE PURPOSES\*\*\*\*\*  
\*\*\*\*\*END OF DEPORTED FELON FILE RESPONSE\*\*\*\*\*

This message appears after each Deported Felon File record response.

13. \*\*\*\*WARNING - THE FOLLOWING IS AN NCIC PROTECTION ORDER RECORD. DO NOT SEARCH, DETAIN, OR ARREST BASED SOLELY ON THIS RECORD. CONTACT ENTERING AGENCY TO CONFIRM STATUS AND TERMS OF PROTECTION ORDER\*\*\*\*

This message appears before each Protection Order File record response.

\*\*\*\*WARNING - THE FOLLOWING IS AN EXPIRED NCIC PROTECTION ORDER RECORD. DO NOT SEARCH, DETAIN, OR ARREST BASED SOLELY ON THIS RECORD. CONTACT ENTERING AGENCY TO CONFIRM STATUS AND TERMS OF PROTECTION ORDER\*\*\*\*

This message appears before each active Protection Order File record response if the record status is inactive or expired.

\*\*\*\*THE SUBJECT OF THIS RECORD IS PROHIBITED FROM RECEIVING OR POSSESSING A FIREARM UNDER FEDERAL LAW (TITLE 18, U.S.C., SECTION 922)\*\*\*\*

This message follows the warning on each Protection Order File record response if the subject is disqualified under the Brady Law from receiving or possessing a firearm.

14. \*\*\*\*\*WARNING - THE SUBJECT IDENTIFIED IN THIS RECORD NIC/W123456789 IS KNOWN TO USE THE FOLLOWING STOLEN OR FALSE (S/F) IDENTIFICATION DOCUMENTS. USE CAUTION IN VERIFYING THE IDENTITY OF THIS PERSON.

This message appears before a Wanted Person File or a Convicted Person on Supervised Release File record response containing stolen/fraudulent identifiers.

15. NO WARRANT. SUBJECT POSSIBLY IN POSSESSION OF HOMICIDE VICTIMS PERSONAL IDENTIFICATION. CONTACT ORI IMMEDIATELY.

This message appears at the end of record responses of open homicide investigations where the victim's identification was missing at the time the body was located or for those agencies unable to obtain JOHN or JANE DOE warrants.

16. CONTACT AGENCIES LISTED FOR FURTHER INFORMATION ON THIS GANG ORGANIZATION

This message appears at the end of each positive response from a Violent Gang Organization File, Group Reference Capability record.

CONTACT AGENCIES LISTED FOR FURTHER INFORMATION ON THIS TERRORIST ORGANIZATION

The message above appears at the end of each positive response from a Violent Terrorist Organization File, Group Reference Capability record.

17. \*\*\*SEXUAL OFFENDER REGISTRY INFORMATION\*\*\*  
THE SUBJECT IDENTIFIED IN THE FOLLOWING RECORD WITH NIC/X123456789 IS REGISTERED AS A CONVICTED SEXUAL OFFENDER. DO NOT SEARCH, DETAIN, OR ARREST BASED SOLELY ON THIS RECORD. ADDITIONAL INFORMATION REGARDING SUBJECT MAY BE AVAILABLE FROM THE INTERSTATE IDENTIFICATION INDEX.

The message above appears before a Convicted Sexual Offender Registry File record response.

18. REPEAT - PROBATION OR SUPERVISED RELEASE STATUS RECORD, DO NOT ARREST BASED ON THIS INFORMATION, CONTACT ORI IF RECORD SUBJECT IS ARRESTED FOR A NEW OFFENSE.

The message above appears at the end of Convicted Person on Supervised Release File record response.

Inquiry messages and responses are further explained in the Inquiry section of each NCIC 2000 file chapter.

## 2.6 LOCATE

1. The purpose of a locate message is to indicate (until the originating agency clears the record) that the wanted person has been apprehended or the property has been located. In the Missing Person File, a locate message indicates the whereabouts of the missing person has been determined and retires the record from the file.
2. A locate message must be transmitted when an agency other than the originating agency of the record finds the missing person, apprehends the wanted person, or recovers the property on file in NCIC 2000.
3. The only exceptions to placing a locate message occur when the hit contains an extradition limitation or NOEX in the MIS Field, and the agency finding the person is outside the geographical area of extradition. In such a case, the record should not be located. All records on file for the found missing person, apprehended wanted

person, or recovered property must be located to ensure that they are in the correct status.

4. A locate message cannot be used by the agency that placed the record in NCIC 2000.

Locate messages and acknowledgments are further explained in the Locate section of each NCIC 2000 file chapter.

## 2.7 CLEAR

1. The purpose of a clear message is to indicate location of a missing person, apprehension of a wanted person, or recovery of property on file in NCIC 2000.
2. A clear transaction causes a protection order or a sexual offender record to be placed in an inactive status for the remainder of the year plus five years. During that time, these records are still accessible via QPO and QXS transactions respectively. For all other files, a clear removes the record from the active files and places it in retired file status where it can be retrieved only by use of a Global Inquiry (SPRQ).
3. A record may be cleared only by the agency that entered the record in file.

Clear messages and acknowledgments are further explained in the Clear section of each NCIC 2000 file chapter.

## 2.8 ERROR MESSAGES

1. An error message advises an agency of an error in an NCIC 2000 transaction. Error messages are frequently referred to as reject messages since the first word is always REJECT. Some error messages contain Message Field Codes (MFCs) to identify the field containing the error. The XXX in the following messages will be replaced by the appropriate message field abbreviation in an actual error message received from NCIC 2000.
2. Error messages pertaining to the III are listed in the III chapter.
4. Following each error message is a brief explanation of the error(s) causing the message to be transmitted. A review of the edits, examples, and formats for the particular file involved in the transaction may aid in identifying the reason for an error message. The following list of error messages is in alphabetical order to assist with finding a particular error message.

REJECT - ALL LICENSE DATA REQUIRED

This message is transmitted when one or more but not all of the license data fields of a record entry have been filled; i.e., License Plate Number (LIC), License Plate State (LIS), License Plate Year of Expiration (LIY), and License Plate Type (LIT).

REJECT - BASE DATA DOES NOT EXIST FOR SUPPLEMENTAL FIELD - XXX

This message is transmitted when a field (other than alias [AKA], Image NCIC Number [IMN], vehicle or license data) is entered in a supplemental transaction but the corresponding field does not exist in the base record.

REJECT - CLEAR/CANCEL/LOCATE DATE ERROR

The word CLEAR, CANCEL, or LOCATE is used as appropriate depending on the transaction.

1. Date in a locate or clear message is prior to the date which caused the record to be entered in NCIC 2000; e.g., Date of Loss (DOL), Date of Theft (DOT), Date of Arrest (DOA), or Date of Warrant (DOW), etc.
2. Date in a locate or clear message is later than the current date.
3. Date in a cancel message is not the current date or current date minus one day.

REJECT - CLEAR/CANCEL/LOCATE ERROR

Clear, cancel, or locate transaction is not properly formatted because data are missing or are not in the proper sequence.

REJECT - CLRD REC

This message is replaced in NCIC 2000 with: REJECT - NOT ON FILE.

REJECT - COMMAS NOT PERMITTED IN THE NMF FIELD

A comma was included in the First Name Field (NMF).

REJECT - DUPLICATE BHN/OAN ERROR

Entry or modify transaction attempts to place the same number in both the Boat Hull Number (BHN) and the Owner Applied Number (OAN) Fields.

REJECT - DUPLICATE FIELD XXX

1. Inquiry transaction contains more than one identifier of the same type.
2. Modify transaction contains a field, other than an identifier, twice.
3. The RSCH Field contains a MFC more than once.

REJECT - DUPLICATE FINGERPRINT IMAGE DATA

Transaction attempts to enter a fingerprint image or link a fingerprint image to a record when one already exists for that record.

REJECT - DUPLICATE <IMAGE-TYPE>

Transaction attempts to enter an image (Image Type [IMT]: mugshot, signature, nonperson identifying image) when one already exists for that record.

REJECT - DUPLICATE REG/CGD ERROR

Entry or modify transaction attempts to place the same number in both the Boat Registration Number (REG) and the Coast Guard Document Number (CGD) Fields.

REJECT - DUPLICATE SER/OAN ERROR

Entry or modify transaction attempts to place the same number in both the Serial Number (SER) and OAN Fields.

REJECT - DUPLICATE VIN/OAN ERROR

Entry or modify transaction attempts to place the same number in both the Vehicle Identification Number (VIN) and OAN Fields.

REJECT - EITHER FPP OR ZIP REQUIRED

On an ORI enter transaction, both the Foreign Postal Code (FPP) and the Zone Improvement Plan (ZIP) Fields are blank.

REJECT - EQUIPMENT PROBLEM

Transaction was not properly processed by the NCIC 2000 computer. Originating agency should resend the transaction.

REJECT - EXCEEDED MAXIMUM NUMBER OF SEARCH FIELDS

More than 30 search criteria of any kind were entered in the RSCH Field, i.e. the combination of the number of MFCs times the number of values per MFC.

REJECT - EXCEEDED MAXIMUM NUMBER OF SEARCH VALUES

More than 15 values for one MFC were entered in the RSCH Field for an ACT SPRQ request. More than 30 values for one MFC were entered in the RSCH Field for a PRG/LOG SPRQ request.

REJECT - EXCEEDED MAXIMUM POC INTERESTS

Replaced in NCIC 2000 with: REJECT -NOT AUTHORIZED.

REJECT - EXCESSIVE FIELDS

SPRQ transaction contains more than the allowed fields.

REJECT - EXCESSIVE FIELDS (FOR XXX)

1. Entry transaction contains more than the allowed fields.
2. Benefits data are included for a U.S. Secret Service Protective File transaction.
3. Supplemental enter transaction attempts to enter more fields than are allowed.

REJECT - EXPIRED LICENSE PLATE YEAR OF EXPIRATION

LIY Field code is not current year, current year minus one, later than current year, or NX.

REJECT - EXPLAIN CAUTION INDICATOR

Characters -C or C are used in Message Key (MKE) Field for person entry and no explanation of caution indicator is set forth in the Caution and Medical Conditions (CMC) Field (NCIC 2000) or in the MIS Field (NCIC).

REJECT - EXPLAIN OFFENSE CODE

1. Offense code 0199, 0299, 0399, 5005, 5015, 5099, 7099, 7199, 7299, or 7399 is used without explanation of offense in position 5 through 24 of the Offense Code (OFF) Field (NCIC 2000 transaction) or in the MIS Field (NCIC transaction).
2. Offense code 4901, 4999, 5001, 5002, 5011, 5012, 5013, 5014, 5015, 8100, 8101, or 8102 is used, and the Original Offense Code (OOC) Field does not have a value (NCIC 2000 transaction).
3. Offense code 4901, 5011, or 5012 is used without explanation of offense in the MIS Field (NCIC transaction).

REJECT - EXPLAIN PCO

A value of 08 has been entered in the Protection Order Conditions (POC) Field and the MIS Field is blank.

REJECT - FIELD ERROR XXX

1. The MFC does not agree with data entered in the field.
2. Image record on database is not the same type as defined by IMT in message. IMN and IMT are provided as the fields in error.
3. Transaction attempts to delete Name of Validator (VLN) Field.
4. Transaction attempts to enter data in a mandatory blank field.
5. Linkage Agency Identifier (LKI) and Linkage Case Number (LKA) are equal to the ORI and the Originating Case Agency Number (OCA) of record. LKI and LKA Fields are provided back in error.
6. LKA Field is not associated with LKI Field (i.e., the pair does not match the OCA and ORI Fields of another record).
7. LKI Field is not a valid ORI.
8. An image transaction attempts to enter an image for a record with an image type that is not compatible with the record type (NIC prefix). NCIC Number (NIC) and IMT provided back as fields in error.
9. A File Transaction (FT) attempts to request a file that does not exist.

REJECT - FIELD ERROR DCH XXX

There are erroneous data in a subfield of the Dental Characteristics (DCH) Field in a Missing Person or Unidentified Person File record.

REJECT - FILE GREATER THAN 32,000 BYTES

File requested is too large to be electronically transmitted.

File transfer session can be initiated to retrieve the file or the file can be requested as a printout or tape.

REJECT - FORMAT ERROR - SLASH REQUIRED - XXX

The required slash separator does not follow an MFC in a transaction which uses an MFC-dependent format.

REJECT - HEADER ERROR

Transaction is missing or contains an invalid header (minimum of 9 characters and maximum of 19).

## REJECT - IDENTIFIER ERROR

1. Transaction contains no identifiers.
2. Inquiry transaction contains more than the allowed number of identifiers.
3. Maintenance transaction contains invalid identifiers.

## REJECT - IMAGE NOT ON FILE &lt;IMN&gt;

Transaction is for an image which is not found on file.

## REJECT - INQUIRY FORMAT ERROR

This message does not exist in NCIC 2000.

## REJECT - INVALID FINGERPRINT CANCEL IMN/&lt;IMN&gt;

Transaction attempts to cancel an image which is linked to more than one record.

## REJECT - INVALID IMAGE PLACEMENT IN MESSAGE

Transaction involving the entry of an image does not have the image data as the last item of the transaction Image (IMG) or Fingerprint Image Compressed (FIM) Fields.

## REJECT - INVALID INDICATOR FOR MFC/XXX

An invalid Range/Branch/Exclusion indicator has been specified for a MFC, e.g., NAM\JONES, DAVID.\*E.

## REJECT - INVALID MESSAGE FIELD CODE XXX

1. Transaction contains invalid MFC for the file involved.
2. Transaction attempts to change the category of the person: e.g., Deported Felon to Wanted Person.

## REJECT - INVALID MFC IN SEARCH CRITERIA FOR SPECIFIED FILE CODE

The MFC is inappropriate for the TYPE of SPRQ request for the FILE type specified in the request, e.g., request TYPE is ACT and PDT/ is specified in the RSCH Field or FILE is V and NAM/ is specified in the RSCH Field.

## REJECT - INVALID MODIFY XXX

1. Modify transaction attempts to delete data from a mandatory field of the NCIC 2000 record. Mandatory fields are explained in the Entry section of each NCIC 2000 file chapter.

2. Modify transaction attempts to modify LIS Field using the same value currently in that field.
3. Modify transaction attempts to delete one or more fields in a set but not all fields in the set.
4. Transaction attempts to modify the Date of Purge (DOP) Field to XXXXXXXX, and ORI is not authorized to do this, i.e., 9th character is not C.
5. Transaction attempts to modify DOP Field to date greater than current date plus 5 years.

REJECT - INVALID NCIC NUMBER

The NIC contains invalid check-digits.

REJECT - INVALID ORI FIELD SPECIFICATIONS

The ORI Field contains wildcard (+) characters in the last seven positions and no other search criteria are specified.

REJECT - INVALID ORI FOR QUALITY CONTROL CANCEL OF RECORD

Transaction contains an invalid Quality Control ORI for the file type.

REJECT - INVALID ORI VALUE PER QUALITY CONTROL OF RECORD

Transaction contains an invalid quality control ORI for the file type.

REJECT - INVALID ORIGINATING AGENCY IDENTIFIER

Transaction contains an invalid ORI.

REJECT - INVALID SEQUENCE OF SEPARATORS

The “%” and “.” appear consecutively within the search criteria.

REJECT - INVALID SER. POSTAL MONEY ORDER MUST BE 10 CHARACTERS.

A serial number for a postal money order is not exactly 10 characters in length.

REJECT - INVALID SERIAL NUMBER RANGE

1. Modify transaction contains a range of consecutively serialized numbers that does not exactly match the range in the record.
2. Serial numbers within the indicated range have been cleared or canceled from a group record.

---

REJECT - INVALID SORT FIELD FOR SPECIFIED FILE CODE - XXX

The MFC SRT is specified **but** one of the following has occurred:

1. The TYPE of SPRQ request is LOG; or
2. The sort MFC criteria specified is invalid for the FILE type; or
3. The sort length is greater than the specified MFC allowable length; or
4. The sort length is missing; or
5. More than 3 MFCs have been specified as the sort criteria.

REJECT - INVALID STATUS FOR OPERATION

Transaction attempts to enter benefits data on a record using an Enter Benefits Data After Clear (CRBD) or an Enter Benefits Data After Locate (LRBD) transaction when that record has not been cleared or located.

REJECT - INVALID TYPE XXXX

The TYPE field is not ACT, PRG, or LOG.

REJECT - LENGTH ERROR - XXX

Field provided in a SPRQ transaction is less than the minimum or more than the maximum length allowed for that field.

REJECT - LOCATE ERROR

Locate transaction does not contain Detained (DETN) or Released (RELD) for missing person record or EXTR or NOEX for wanted person record.

REJECT - MAXIMUM NUMBER OF IDENTIFYING IMAGES EXCEEDED

Transaction attempts to enter an identifying image when the maximum number of 10 identifying images has already been entered.

REJECT - MESSAGE KEY ERROR

1. Transaction is missing or contains an invalid MKE.
2. MKE does not agree with data in the transaction or in the record.

REJECT - MFC XXX IS INVALID FOR TYPE XXXX

The MFC, other than the search criteria, is invalid for the TYPE specified, e.g., a mandatory blank field contains data.

REJECT - MISSING DATA XXX

1. SPRQ transaction does not contain a mandatory field(s).
2. A set contains one or more fields but not all fields in the set.
3. Image transaction attempts to enter an image, other than generic, without a NIC to identify the record to which the image belongs.

REJECT - MISSING IDENTIFIER

1. Inquiry transaction does not contain a searchable identifier or searchable group of identifiers.
2. Transaction attempts to enter a record with no numeric identifiers.

REJECT - MODIFY ERROR

1. Modify transaction is not properly formatted.
2. Modify transaction attempts to associate a Group Member to a Group Name (GNG)/Subgroup Name (SGP) not on file.
3. Modify transaction attempts to remove last numeric identifier in the record.
4. Modify transaction does not contain any field to modify.

REJECT - MODIFY FINGERPRINT ERROR - REPLACEMENT FINGERPRINT DOES NOT MATCH FINGERPRINT IDENTIFIED BY IMN/<IMN>

Transaction attempts to modify a fingerprint image with an image that does not match the stored fingerprint image or is a duplicate of the stored image.

REJECT - NAM/ AND NMF/ NOT PERMITTED IN THE SAME REQUEST

The RSCH Field includes both the NAM/ and NMF/ MFCs.

REJECT - NCIC IN RESTRICTED SERVICE

Transaction attempts to send one of the following messages during a restricted service period:

1. Entry, cancellation, or modification transaction of a nongroup record is attempted. Only clear, inquiry, and locate transactions are permitted for nongroup records.
2. Entry, cancellation, clear, locate, or modification transaction of a consecutively serialized group record is attempted. Only inquiry messages are permitted on group records.

REJECT - NIC PREFIX DOES NOT AGREE WITH MESSAGE KEY

The first character of the NIC which designates the file type of the transaction does not correspond with the MKE.

REJECT - NO DENTAL INFORMATION ON FILE FOR NIC/XXXXXXXXXX

Replaced in NCIC 2000 with: REJECT - SUPPLEMENTAL NOT ON FILE.

REJECT - NOT AUTHORIZED

1. Type of transaction transmitted is not authorized for the ORI.
2. An agency other than the ORI of a record is attempting to perform a maintenance transaction on the record in file. (Does not apply to locate transactions.)
3. Transmitting agency is attempting to place a locate against its own record. Clear transaction should be sent.
4. An agency is using an ORI with a state code other than the one assigned to the line over which the message was transmitted.
5. Transaction attempts to enter a Gang/Terrorist Group with a GNG and SGP of UNLISTED GROUP.
6. Cancel transaction attempts to cancel a Protection Order with PNO/ and NIC/ as identifiers and the ORI is not a quality control ORI.
7. Transaction attempts to modify Missing Person Interest (MIF) Field and the agency is not National Center for Missing and Exploited Children (NCMEC).
8. NCMEC attempts to modify a field other than the MIF Field.
9. National Insurance Crime Bureau (NICB) attempts to modify a field other than Vehicle Ownership Data (VOD) Field.
10. Transaction attempts to modify VOD Field and the agency is not NICB.

11. Transaction attempts to modify a secondary Point of Contact (POC) Field to the primary POC Field.
12. Transaction attempts to enter a Category II juvenile record for an ORI in a nonparticipating state.
13. Transaction attempts to modify an inactive Protection Order or Convicted Sexual Offender Registry File record.
14. An agency is attempting an SPRQ transaction and does not have authorization.
15. An agency authorized to perform SPRQ transactions has requested a SPRQ type restricted to FBI staff only.
16. An agency is attempting to enter a generic image and is not FBI staff.

REJECT - NOT ON FILE

1. An identifier(s) used to identify a record in a maintenance transaction is in error; therefore, the record on file was not found.
2. The range of serial numbers in the maintenance transaction exceeds the range of serial numbers for the record on file.
3. Record identified is retired.

REJECT - ON FILE

1. Record being entered is already on file.
2. Transaction attempts to modify an identifier in one record to the same identifier already on file in another record.

When the above message is received, the record on file is included in the response.

REJECT - ONLY ONE SRT PERMITTED FOR EACH TRANSACTION

The RSCH contains more than one SRT/MFC.

REJECT - ORI IN USE

1. Transaction attempts to modify the Type (TYP) Field to R and the ORI still has active records.
2. Transaction attempts to cancel an ORI with active records.

REJECT - ORI NOT ON FILE

Transaction specifies an ORI that is not on file.

REJECT - ORI ON FILE

Transaction attempts to enter an ORI that is already on file.

REJECT - QUALITY CONTROL NOT ALLOWED TO CANCEL THIS RECORD

Transaction initiated by a Quality Control ORI attempts to cancel a record not included in the serious error program.

REJECT - RECORD LOCATED PREVIOUSLY

1. Modify or locate transaction is for a property file record that has already been located.
2. The range of serial numbers in a locate transaction has been completely or partially located.
3. Transaction attempts to enter or cancel an NCIC 2000 add-on record for a file record that has already been located.

REJECT - REPLACEMENT FINGERPRINT IMN/<IMN> MATCHES FINGERPRINT IMAGE IDENTIFIED BY IMN/<IMN>

The Fingerprint Matching System (FMS) indicates a duplicate image.

REJECT - SERIAL NUMBER IS NOT UNIQUE, SEE FOLLOWING:

**\*\* ATTENTION \*\*** IF SER/XXXXXXXX-20-XXXXXXXXXX IS FOR TYP/XX-7-XX, AND BRA/XX-6-X, IT IS NOT UNIQUE ACCORDING TO NCIC QUALITY CONTROL. ASCERTAIN CORRECT SERIAL NUMBER.

or

**\*\* ATTENTION \*\*** IF SER/XXXX-11-XXX IS FOR MAK/XXX, CAL/XXXX, AND TYP/XX IT IS NOT UNIQUE ACCORDING TO NCIC QUALITY CONTROL. ASCERTAIN CORRECT NUMBER.

When there are three or more article records on file in NCIC 2000 with matching data in the SER, TYP, and Brand Name (BRA) Fields; or three or more gun records on file in NCIC 2000 with matching data in the SER, Make (MAK), Caliber (CAL), and TYP Fields, the NCIC 2000 Quality Control Staff enters an ATTENTION message to alert NCIC 2000 users to the possibility of a nonunique serial number. The duplication of the SER indicates the number may be a stock control number, model, production, or catalog number.

REJECT - SGP/NONE KNOWN - TOO GENERIC FOR SEARCH

Transaction attempts to make an inquiry using only SGP/NONE KNOWN.

REJECT - SUPP MFC ERROR

1. Included in the acknowledgment when MFC of a supplemental cancel transaction fails its edit check.
2. Included in the acknowledgment to a supplemental cancel transaction when the IMT specified does not match the IMT on file.

REJECT - SUPP NOT ON FILE XXX/XXXX

1. Included in the acknowledgment to a supplemental cancel transaction when transaction attempts to delete fields that are not contained in the supplemental record.
2. Each field not contained in the supplemental record is preceded by the appropriate MFC and a slash, e.g., DOB/19530106.

REJECT - SUPPLEMENTAL RECORD FORMAT ERROR - XXX

1. Supplemental record entry is improperly formatted.
2. Transaction attempts to enter/cancel supplemental data with no identifier listed (e.g., AKA, DOB, etc.).
3. Transaction attempts to enter a boat trailer which is already there or an add-on with the same sequence as one already on file for the same base record.

REJECT - TTO/DRS/HND/GTI/MIS MAY BE MODIFIED ONLY BY PRIMARY ORI

Agency other than primary ORI is attempting to modify the record.

REJECT - UNABLE TO PROCESS TRANSACTION. WATCH FOR III IN SERVICE MESSAGE

Transaction has been submitted for III while III is down.

REJECT - UNABLE TO PROCESS TRANSACTION. WATCH FOR IN SERVICE MESSAGE

Transaction has been submitted for the FMS while it is down.

REJECT - VEHICLE YEAR DOES NOT AGREE WITH VIN

Vehicle Year (VYR) Field in the record entry does not agree with the vehicle year of manufacture in the 17-character VIN. (Additional information can be found in the Vehicle File chapter.)

REJECT - VIN FORMAT ERROR

The VIN Field does not meet the manufacturer's VIN construction criteria. (VIN Field edits can be found in the Vehicle File chapter.)

REJECT - WILDCARD CHARACTERS INVALID FOR XXX

The MFCs contain wildcard characters which are not allowed for the particular MFC. Additional information concerning the wildcard character can be found in the Other Transactions chapter.

## 2.9 ADMINISTRATIVE MESSAGES

### SYSTEM STATUS ADMINISTRATIVE MESSAGES -- \$.1. through \$.7.

Administrative messages are transmitted by NCIC 2000 to advise users of the NCIC 2000 System status. 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 numerics representing year, month, and day, <YYYYMMDD>.

#### \$.1. Administrative Message

A \$.1. administrative message is transmitted in the following format:

```
$.1.  
ALL NCIC FILES OUT OF SERVICE 0100 EST  
XXX-80-XXX
```

This message is transmitted when NCIC 2000 is going out of service. The time the System is going out of service is entered as applicable. The third line of this message contains up to 80 characters of variable data describing the reason, e.g., TODAY FOR FILE MAINTENANCE.

#### \$.2. Administrative Message

The following is an example of a \$.2. administrative message:

§.2.

NCIC VEHICLE, PROPERTY & PERSON FILES IN FULL SERVICE  
0100 EST 19991001.

This message is transmitted when:

1. NCIC 2000 has been out of service and is returning to full service.
2. NCIC 2000 has been in restricted service (a period during which only certain types of messages are accepted, e.g., inquiry, clear, and locate transactions) and is returning to full service.

**§.3. Administrative Message**

A §.3. administrative message is transmitted in the following format:

**§.3.**

This message is transmitted when a defective transmission (caused by line noise, imperfect transmission of message by the control terminal equipment, time out, etc.) is received at the NCIC 2000 computer. If the interface is bisynchronous (BSC), then the text used in the message is one of the following:

RESEND TIMEOUT; RESEND DATA ERROR, or RESEND MSG TOO LONG.

If the interface protocol is Transmission Control Protocol (TCP) or System Network Architecture (SNA) and a framing error is detected, then the message is one of the following:

REJECT: FRAMING ERROR - INVALID START FLAG

or

REJECT: FRAMING ERROR - INVALID SIZE FIELD

or

REJECT: FRAMING ERROR - INVALID END FLAG

If two times the maximum possible message size is collected without achieving synchronization, the TCP/Internet Protocol (IP) connection to the client is shut down and the following message is sent:

REJECT: RESYNC NOT ACHIEVABLE - CONNECTION CLOSED

If the communication software is unable to communicate with the application software, then the following message is sent:

RESEND NCIC 2000 ERROR

If a connection is received from an IP address which is not in the line database, then the following message is sent:

REJECT INVALID LINE

If a second transaction is received on the same logical line prior to a response being transmitted for the first transaction, then the following message is sent:

REJECT: PROTOCOL VIOLATION

This message is followed by the first 100 bytes of the rejected transaction.

If the interface protocol is TCP/IP and a connection request is received for a line that has reached the maximum number of connections, then the following message is sent:

REJECT: ATTEMPTED TO EXCEED PERMITTED TCP CONNECTION LIMIT FOR LINE

If the interface protocol is SNA or TCP/IP and a connection request is received for a line that has been commanded down by the NCIC 2000 System, then the following message is sent:

REJECT: LINE COMMANDED DOWN AT NCIC 2000

#### **\$.4. Administrative Message**

The following is an example of a \$.4. administrative message:

\$.4.  
NCIC VEHICLE, PROPERTY, & PERSON FILES RESTRICTED TO  
INQUIRY/CLEAR/LOCATE FROM 0100 UNTIL ABOUT 0400 EST.  
NO CLEAR/LOCATE FOR CONSECUTIVE GROUP RECORDS ACCEPTED.  
WATCH FOR FULL SERVICE MESSAGE.

This message is transmitted when NCIC 2000 begins restricted service for file maintenance. The start and end time of restricted service are entered as applicable.

#### **\$.5. Administrative Message**

The following is an example of a \$.5. administrative message:

\$.5.  
\*\*\*\*NOTICE---NOTICE\*\*\*\*  
NCIC CONTINUING RESTRICTED SERVICE FOR VEHICLE, PROPERTY  
& PERSON FILES UNTIL ABOUT 0600 EST.  
WATCH FOR FULL SERVICE MESSAGE.

This message is transmitted when restricted service is extended 30 minutes or more beyond the original time planned.

#### **\$.6. Administrative Message**

The following is an example of a \$.6. administrative message:

\$.6.  
YOUR NCIC LINE REOPENED 0600 EST.  
ALL NCIC FILES IN FULL SERVICE.

This message is transmitted to a control terminal when that control terminal's communication line is reopened after a period during which the terminal's line was down. NCIC 2000 is in full service when the line is reopened.

### **\$.7. Administrative Message**

The following is an example of a \$.7. administrative message:

\$.7.  
YOUR NCIC LINE REOPENED 0600 EST.  
ALL NCIC FILES IN RESTRICTED SERVICE.

This message is transmitted to a control terminal when that control terminal's communication line is reopened after a period during which the terminal's line was down. NCIC 2000 is in restricted service when the line is reopened.

### **OTHER ADMINISTRATIVE MESSAGES**

Other administrative messages are sent to selected users in response to particular actions taken on NCIC 2000 records, either through inquiry or maintenance by the users (e.g., \$.8., \$.B., \$.H.) or through actions taken by the NCIC 2000 System or the FBI staff (e.g., \$.F., \$.E.).

### **\$.8. Out-of-State Notification**

An Out-of-State Notification, \$.8. administrative message, is transmitted to the state of registry of a vehicle when:

1. The vehicle is stolen or used in a felony in a state other than the state of registry and a record concerning the vehicle is entered, modified, located, cleared, or canceled in NCIC 2000.
2. A wanted or missing person record is entered with vehicle data showing registration is in a state other than the entering agency.
3. The vehicle is a Canadian Police Information Centre (CPIC) record and the state of registry is a U.S. state.
4. The entering agency is federal or military and uses the same line as the state of registry unless the state is Alabama, Connecticut, Delaware, Georgia, Montana, New Jersey, New York, Oregon, Pennsylvania, Virginia, Washington, or Wisconsin.
5. The following states do not participate in the \$.8. Program: Idaho, Indiana, Iowa, Wyoming, and the territories of Puerto Rico and the Virgin Islands.

The following is an example of a \$.8. administrative message:

```
$.8.
OUT OF STATE AT 1325 EST 19991001
1L01HEADER.EV.MD1012600.123456.VA.1999.PC.3J573A7012345.1980.
OLDS.CUT.2D.WHI.19990110.123456789...DENT IN RIGHT FRONT FENDER.Y
NIC/V987654321 OCA/123456789
```

In the example above, the state of registry is advised that an agency in another state has entered into NCIC 2000 a record on a vehicle registered in the recipient state.

\$.8. modify messages are not transmitted to the state of registry when the NICB modifies a record to add or change the VOD Field.

After the LIC has been removed (modified or purged) from a record, no further notification is sent to the state of registry if the state of registry is one of the following:

California	Illinois	New Mexico	Oklahoma
Connecticut	Kansas	Ohio	Wisconsin

Once a license plate, stolen or felony vehicle, or person record has had a locate placed on it, the state of registry will not receive a clear or cancel message on the record. A \$.8. clear or cancel message will only be transmitted to the state of registry for active records.

A \$.8. notification message will also be generated to the state of registry following certain scheduled NCIC 2000 purges.

Line two of the message identifies the type of purge as one of the following:

- |    |                       |                             |
|----|-----------------------|-----------------------------|
| 1. | LICENSE RETENTION     | License Plate File chapter  |
| 2. | VEHICLE RETENTION     | Vehicle File chapter        |
| 3. | VEHICLE WITHOUT A VIN | Vehicle File chapter        |
| 4. | FELONY VEHICLE        | Vehicle File chapter        |
| 5. | EXPIRED LIY           | Vehicle File chapter        |
|    |                       | Wanted Person File chapter  |
|    |                       | Missing Person File chapter |
| 6. | TEMPORARY WARRANT     | Wanted Person File chapter  |

The following is an example of a \$.8. purge message:

```
$.8.
OUT OF STATE PURGE AT 1325 EST 19991105
FELONY VEHICLE
SEE IDENTIFIER(S) LIC/123456 VIN/3J573A7012345
NIC/V987654321 OCA/123456789
```

The following states have elected to not receive \$.8. notification messages following the first purge of the year:

Alabama	Florida	Michigan	Oklahoma
Arkansas	Hawaii	Nebraska	Oregon
Arizona	Indiana	New Hampshire	Pennsylvania
California	Kansas	New Jersey	Tennessee
Canada	Kentucky	New York	Washington
District of Columbia		Ohio	

### **\$.8. JUST/EPIC Aircraft Notification**

A \$.8. administrative message is sent to the Department of Justice, El Paso Intelligence Center for all stolen or felony vehicle entry, modify, cancel, locate, and clear transactions with a VMA of AERO. CPIC transactions are excluded.

The following is an example of a \$.8. JUST/EPIC Aircraft Notification:

```
$.8.  
OUT OF STATE AT 1325 EST 19991105  
1L01HEADER.EV.MD1012600..3456666.VA.1999.PP.123457012345.1980.  
AEROBOEING.727.MJ.SIL.19990110.123456789.....Y  
SEE IDENTIFIER(S) LIC/3456666 VIN/123457012345  
NIC/V912354451 OCA/123456789
```

### **\$.8. NICB Vehicle/Boat Notification**

A \$.8. administrative message is sent to the NICB for all stolen vehicle (not aircraft), boat or part entry, modify, cancel, locate, and clear transactions.

The following is an example of a \$.8. NICB Vehicle/Boat Notification:

```
$.8.  
OUT OF STATE AT 1325 EST 19991001  
1L01HEADER.EV.MD1012600.123456.VA.1999.PC.3J573A7012345.1980.  
OLDS.CUT.2D.WHI.19990110.123456789...DENT IN RIGHT FRONT FENDER.Y  
SEE IDENTIFIER(S) LIC/123456 VIN/3J573A7012345  
NIC/V987654321 OCA/123456789
```

### **\$.8. Missing Person Notification**

A \$.8. administrative message is sent to The National Center for Missing and Exploited Children (NCMEC) for all modify, cancel, locate, and clear missing person transactions when the missing person interest flag (MIF) Field contains the alphabetic Y. (NCMEC sets the MIF flag through a missing person modify transaction.)

The following is an example of a \$.8. Missing Person Notification:

\$.8.

NCMEC NOTIFICATION AT 1325 EST 19991001  
 1LO1HEADER.MM.MD1012600.NAM/DOE, JOHN J.NIC/M000069216.EYE/BRO  
 UPDATING ORI IS ANY CITY PD MD  
 MKE/MISSING PERSON JUVENILE  
 ORI/MD1012600 NAM/DOE, JOHN J SEX/M RAC/W POB/MD DOB/19891012  
 DOE/20071012 HGT/310 WGT/065 EYE/BRO HAI/BRO SKN/FAR SMT/SC R HND  
 SOC/216343737 MNP/MP DLC/19921201 OCA/SAMPLE  
 MIS/ LAST SEEN WEARING BLUE PANTS AND RED SHIRT  
 BLT/OPOS CRC/C FPA/N BXR/P  
 JWT/PK RI  
 JWLGOLD RING  
 ORI IS ANY CITY PD MD  
 DOB/19880912  
 SMT/SC R ARM

DENTAL CHARACTERISTICS  
 DENTAL CHARACTERISTICS (DCH) ARE NOT AVAILABLE  
 NIC/M000069216 DTE/19981215 1245 EST

### **\$.8. Child Abduction Notification**

A \$.8. administrative message is sent to NCMEC and both the FBI's National Center for the Analysis of Violent Crime (NCAVC) and the Strategic Information Operations Center (SIOC) when the missing person record is a for all missing person entry, modify, cancel, locate, and clear transactions when the Missing Person (MNP) Field contains a value of CA.

The following is an example of a \$.8.Child Abduction Notification:

\$.8.

CASKU1000  
 CHILD ABDUCTION NOTIFICATION AT 1325 EST 19991001  
 1LO1HEADER.MM.MD102600.NAM/DOE, JOHN J.NIC/M000069216.EYE/BRO  
 UPDATING ORI IS ANY CITY PD MD  
 MKE/MISSING PERSON JUVENILE  
 ORI/MD1012600 NAM/DOE, JOHN J SEX/M RAC/W POB/MD DOB/19891012  
 DOE/20071012 HGT/310 WGT/065 EYE/BRO HAI/BRO SKN/FAR SMT/SC R HND  
 SOC/123456789 MNP/CA DLC/19921201 OCA/SAMPLE  
 MIS/LAST SEEN WEARING BLUE PANTS AND RED SHIRT  
 BLT/OPOS CRC/C FPA/N BXR/P  
 JWT/PK RI  
 JWLGOLD RING  
 ORI IS ANY CITY PD MD  
 SMT/SC R ARM

DENTAL CHARACTERISTICS  
 DENTAL CHARACTERISTICS (DCH) ARE NOT AVAILABLE  
 NIC/M000069216 DTE/19981215 1245 EST

### **\$.8. Coast Guard Boat Notification**

A \$.8. administrative message is sent to the Coast Guard for all entry, modify, cancel, locate, and clear boat transactions and System purges.

The following is an example of a \$.8. Coast Guard Boat Notification:

\$.8.

```
COAST GUARD NOTIFICATION AT 1325 EST 19991001
1L01HEADER.MB.MD1012600.NIC/B0000032685
SEE IDENTIFIER(S)REG/MD1234ZZ BHN/LBC035380880
NIC/B0000032685.OCA/123456.RES/MD
```

### **\$.10. Administrative Message**

A \$.10. administrative message is transmitted in the following format:

\$.10.

```
NCIC 2000 FINGERPRINT MATCHER OUT OF SERVICE
WATCH FOR IN SERVICE MESSAGE
```

This message is transmitted when NCIC 2000 Fingerprint Matching Subsystem is out of service.

### **\$.11. Administrative Message**

The following is an example of a \$.11. administrative message:

\$.11.

```
NCIC 2000 FINGERPRINT MATCHING IN FULL SERVICE
0100 EST 19991001
```

This message is transmitted when NCIC 2000 Fingerprint Matching Subsystem has been out of service and is returning to full service.

### **\$.B. File-Transfer-Ready Notification**

A \$.B. administrative message is transmitted to an ORI whenever a file is available for retrieval. This situation occurs when:

1. Excessive hits resulting from an inquiry are transmitted;
2. A response to a batch inquiry is transmitted;
3. A response to an SPRQ is transmitted;
4. A response to an off-line search is transmitted (e.g., statistic data request, error profile request); or
5. A validation file is ready for transfer.

The following is an example of a \$.B. administrative message:

```
$.B.
MD1012600
FILE CONTAINS SPRQ RESULTS.
BATCH FILE SIZE: 14000 BYTES, READY FOR DOWNLOAD.
PLEASE REQUEST FILE NAME F12345.
USE THE FT MKE TO RETRIEVE THE FILE OR FTP WITHOUT THE BINARY OPTION.
```

If the file does not exceed 32,000 bytes, the user is able to retrieve the file electronically. Otherwise, a file transfer session may be initiated (FTP) or the user may request the file to be printed and mailed, put on tape, or deleted. A special transaction, for file transfer (FT), is used to indicate the user's preferred approach to receiving the file. Information concerning the FT transaction can be found in the Other Transactions chapter.

The \$.B. notification is also used to transmit files of records to be validated to the states. In that case the \$.B. notification is formatted as follows:

```
$.B.
FILE CONTAINS $.C. REQUEST FOR VALIDATION NOTIFICATIONS.
14000 BYTES, READY FOR DOWNLOAD.
PLEASE REQUEST FILE NAME F12345.
USE THE FT MKE TO RETRIEVE THE FILE OR FTP WITH THE BINARY OPTION.
```

### **\$.C. Request for Validation Notification**

The request for Validation Notification, \$.C. administrative message, is generated for each record to be validated. The \$.C. messages are sent to the CTAs to be distributed to the individual ORIs.

The following is an example of a \$.C. administrative message:

```
$.C.
MD1012600
NCIC VALIDATION REQUEST (19990125). YOU MUST VERIFY
THE COMPLETENESS, ACCURACY, VALIDITY, AND WILLINGNESS TO
EXTRADITE IF APPLICABLE, AND REAUTHORIZE RETENTION OF THE
BELOW RECORD WITHIN 30 DAYS OR THE RECORD WILL BE PURGED
FROM NCIC.

MKE/STOLEN VEHICLE
ORI/MD1012600 LIC/ABC123 LIS/MD LIY/1999 LIT/PC
VIN/9876543217860 VYR/1971 VMA/PONT VMO/BON VST/SW VCO/RED
OAN/12345678 DOT/19990803 OCA/56789
GANICBAOO INTEREST
NIC/V123456789 DTE/19990805 2000 EDT
```

**ORI record validation:** The following format is used when the user is requested to validate an ORI record:

\$.C.

NCIC VALIDATION REQUEST (19990125). YOU MUST VERIFY THE COMPLETENESS, ACCURACY, VALIDITY OF YOUR ORI RECORD.

ORI/FL0130000 ATR/ORI IS ANY CITY PD FL  
COU/DADE TYP/1 CT1/407 555-1212  
CT2/407 555-1313 CT3/407 555-1414  
AN1/METRO-DADE PD AN2/SECOND ADDRESS  
SNU/1320  
SNA/N W 14TH STREET CTY/MIAMI ST/FL  
ZIP/99999  
NLC/0001 TUC/0001 OMC/0085 CDC/0085 DTE/19990510 1200 EDT  
DLU/19980510

### **\$.D. Originating-Agency-Duplicate-Vehicle Notification**

When a vehicle locate, clear, or cancel transaction is processed by NCIC 2000, and there are duplicate records on file, (VIN and VMA or LIC, LIS, LIT and LIY exactly match) the \$.D. message is sent to the owner(s) of the duplicate record(s).

The following is an example of a \$.D. administrative message:

\$.D.  
MD1012600  
LOCATED POSSIBLE DUPLICATE RECORD AT 1130 EST 19990825  
  
THE LOCATED RECORD IS:  
MKE/STOLEN VEHICLE  
...  
ORI IS SHERIFF'S DEPARTMENT, KETCHIKAN AK 501 555-1212  
IMMED CONFIRM RECORD WITH ORI  
  
YOUR RECORD IS:  
MKE/STOLEN VEHICLE  
...  
NIC/V123456789 DTE/19990805 2000 EDT  
A COMPLETE COPY OF THE RECORD IS PROVIDED [ would be replaced by all applicable fields].

### **\$.E. Serious Error Notification**

The following is an example of a \$.E. administrative message:

\$.E.  
MD1012600  
NCIC SERIOUS ERROR CANCELLATION NOTIFICATION AT 1600 EST 19990830.  
YOUR ENTRY NIC/VI23456789, OCA/56789 WAS CANCELED BY NCIC QUALITY CONTROL.  
NCIC ERROR 01001.  
  
MKE/CANCELED STOLEN VEHICLE  
ORI/MD1012600 LIC/ ABC123 LIS/MD LIY/1999 LIT/PC  
VIN/9876543234510 VYR/1972 VMA/PONT VMO/BON VST/SW VCO/RED  
OAN/12345678 DOT/19990803 OCA/56789  
GANICBAOO INTEREST

THE VEHICLE IDENTIFICATION NUMBER-VIN-IN THE ABOVE-CANCELED RECORD DOES NOT AGREE WITH MANUFACTURER'S SPECIFICATIONS AND/OR WITH OTHER AVAILABLE REFERENCES SUCH AS THE NATIONAL INSURANCE CRIME BUREAU.

REVIEW OF THE ERRONEOUS VIN INDICATES THAT [NCIC 2000 will insert an explanation of the error here]

NCIC REQUESTS THAT YOU REVIEW AVAILABLE RECORDS TO DETERMINE THE CORRECT DATA AND REENTER IN NCIC.

IF THE ABOVE RECORD CONTAINED SUPPLEMENTAL ADD-ON VEHICLE INFORMATION OR OTHER UNIQUE SEARCHABLE NUMBERS SUCH AS LIC OR OAN, THAT DATA AND ALL OTHER DESCRIPTORS SUCH AS VYR, VMA, VST, ETC., SHOULD BE REENTERED IMMEDIATELY.

QUESTIONS CONCERNING THIS TRANSACTION IF NOT RESOLVED BY YOUR CTO MAY BE DIRECTED TO FBI/CJIS DATA INTEGRITY UNIT VIA NLETS, ORI/DCFBIWA03, OR TELEPHONE 304 625-3020, MON - FRI, 8 AM TO 4:30 PM, EASTERN STANDARD TIME.  
FBI/CLARKSBURG, W.V.

This message is transmitted to the entering agency when its record has been canceled by the FBI Data Integrity Staff because of a serious error.

**\$.F. Failure-to-Validate Notification**

This message is transmitted to the CTA responsible for the ORI(s) of a record(s) when a record(s) that has not been validated is retired.

The following is an example of a \$.F. administrative message:

\$.F.  
MD1012600  
NCIC VALIDATION PURGE 19990701.THE FOLLOWING RECORD HAS BEEN PURGED BY THE FBI DUE TO YOUR FAILURE TO VALIDATE. YOU MAY REENTER IF YOU DETERMINE THE INFORMATION IS VALID, ACCURATE AND COMPLETE.  
MKE/STOLEN VEHICLE  
ORI/MD1012600 LIC/ABC123 LIS/MD LIY/1999 LIT/PC  
VIN/9876543345210 VYR/1972 VMA/PONT VMO/BON VST/SW VCO/RED  
OAN/12345678 DOT/19990803 OCA/56789  
GANICBAOO INTEREST  
NIC/V123456789 DTE/19990805 2000 EDT

The copy of the retired record is included after the initial message. The full message is repeated for each retired record.

**\$.G. Reference-Group-Ownership Notification**

A \$.G. administrative message is sent when the ownership of a VGTOF reference group is transferred following an NCIC 2000 cancel transaction and the record contains more than one ORI/POC value. The ownership is transferred to the next oldest ORI/POC value. The notification is sent to all ORI/POCs to inform them of the transfer.

The following is an example of a \$.G. administrative message:

```
$.G.  
CA1012300  
AGENCY MD1012600 HAS REMOVED ITS INTEREST IN  
GNG/CRIPS SGP/ROARING 50S NIC/Z123456789  
ORI CA1012300 IS NOW PRIMARY ORI FOR PURPOSES OF MODIFICATION  
AND SUPPLEMENTATION.
```

### **\$.H. Originating Agency Notification**

A \$.H. administrative message is sent to the ORI of record when an inquiry, enter, or modify transaction results in a hit response; and the Notify Originating Agency flag (NOA) is set to Y in a NCIC 2000 formatted record. This replaces the use of NOAH in the MIS Field of an NCIC formatted record which did not generate an automatic message but directed the user to contact the owner of the record.

The following is an example of a \$.H. administrative message:

```
$.H.  
MD0012600  
ORIGINATING AGENCY NOTIFICATION AT 1600 EST 19990830  
FL0130000 ANY CITY PD FL  
113 FRONT STREET  
MIAMI DADE FL  
407 555-1313  
QV.FL0130000.LIC/ABC123.LIS/MD.LIY/1999  
  
MKE/STOLEN VEHICLE  
ORI/FL0130000 LIC/ABC123 LIS/MD LIY/1999 LIT/PC  
VIN/9876543345210 VYR/1972 VMA/PONT VMO/BON VST/SW VCO/RED  
OAN/12345678 DOT/19990803 OCA/56789  
NIC/V123456789 DTE/19990904 1200 EDT
```

### **\$.H. Delayed Inquiry Hit Notification**

A \$.H. administrative message is sent to the ORI entering or modifying a record which resulted in a hit response for an inquiry made within the last 5 days.

The following is an example of a \$.H. message:

```
$.H.  
MD0012600  
YOUR RECORD WITH NIC/V123456789 OCA/56789 IS A POSSIBLE DELAYED  
INQUIRY MATCH WITH AN INQUIRY ON 1230 EST 19990830 CONTAINING:  
LIC/ABC123  
LIS/MD  
LIY/1999  
INQUIRING ORI/FL0130000 ATR/ANY CITY PD FL  
407 555-1313
```

**\$.H. Delayed Inquiry Hit Response Notification**

A \$.H. administrative message is sent to the ORI of a inquiry transaction when a hit response is generated because of a subsequent entry or modification transaction. The inquiry transaction will potentially receive hit responses for 5 days after the initial inquiry was made.

The following is an example of a \$.H. message:

```
$.H.1L01HEADER
MD1012600

DELAYED INQUIRY HIT NOTIFICATION AT 1600 EST 19990830
YOUR INQUIRY: 0200 EST 19990827 HIT ON THE FOLLOWING RECORD
MKE/STOLEN VEHICLE
ORI/FL0130000 LIC/ABC123 LIS/MD LIY/1999 LIT/PC
VIN/9876543345210 VYR/1972 VMA/PONT VMO/BON VST/SW VCO/RED
OAN/12345678 DOT/19990803 OCA/56789
NIC/V123456789 DTE/19990904 1200 EDT
```

**\$.I. Image Ownership Notification**

A \$.I. administrative message is sent to the ORI to which ownership of an image is transferred following an NCIC 2000 clear or cancel transaction when a fingerprint linked to the cleared or canceled record is also linked to other records.

The following is an example of a \$.I. administrative message.

```
$.I.
CA1012300
THE FOLLOWING IMAGE IS NO LONGER ASSOCIATED WITH ITS ORIGINAL
OWNER: MD1012600
OWNERSHIP OF THE IMAGE LINKED TO NIC/W123456789
HAS BEEN TRANSFERRED TO YOUR ORI.
IMN/I123456789 IMT/F
```

**\$.J. Emancipation Notification**

This message is sent to the ORI of record when the individual of the record reaches the age of emancipation. This is determined monthly by the NCIC 2000 System by comparing the Date of Emancipation Field with the current date.

The following is an example of a \$.J. administrative message:

```
$.J.
MDOO12600
THE INDIVIDUAL OF YOUR RECORD NIC/W000000000
OCA/324-123 HAS BECOME EMANCIPATED.
PLEASE CHECK YOUR STATE LAWS REGARDING APPROPRIATE ACTION.

MKE/WANTED JUVENILE DELINQUENT - ADJUDGED
ORI/MD1012600 NAM/SMITH, JOHN SEX/M RAC/W POB/TX DOB/19851023
DOE/20051023 HGT/509 WGT/150 EYE/BRO HAI/BRO SKN/DRK
```

SMT/SC RT HD  
FPC/121011CO141159TTCI13 SOC/123456789  
OLN/12345678 OLS/MD OLY/2000  
OFF/ESCAPE FROM CUSTODY  
DOV/19991021 OCA/1222222222  
WNO/123234444545  
VLD/19991022 VLN/VALIDATOR, JO  
LIC/CC1234 LIS/MD LIY/1999 LIT/PC  
VIN/9876543345210 VYR/1972  
VMA/PONT VMO/BON VST/SW VCO/RED

### **\$.K. Missing Information Notification**

A \$.K administrative message is sent to the ORI of record as a result of a quality control periodic automated review of the Missing and Unidentified Person Files. The review determines if information is present in the Blood Type (BLT); Dental Characteristics (DCH); Fingerprint Classifications (FPC); Jewelry Type (JWT); and Scars, Marks, Tattoos, and Other Characteristics (SMT) Fields. If an entry date of a missing person record is over 30 days old and any of the above fields are missing, an on-line \$.K. message, listing the missing fields, will be sent to the originating agency via the CTA.

The following is an example of a \$.K. administrative message:

\$.K.  
MD1012600  
NCIC INCOMPLETE MISSING/UNIDENTIFIED PERSON NOTIFICATION AT 1600  
EST 19990830. YOUR ENTRY NIC/M000069216, OCA/56789 HAS  
INFORMATION MISSING FROM THE FOLLOWING KEY DATA  
FIELDS: BLT, DCH, FPC, JWT,SMT.

IF ANY SUPPLEMENTAL INFORMATION IS AVAILABLE, THAT DATA SHOULD BE  
ENTERED IMMEDIATELY. THIS WILL BE YOUR ONLY NCIC NOTIFICATION.

MKE/MISSING PERSON OTHER  
ORI/MD1012600 NAM/THOMAS, TOM SEX/M RAC/W  
POB/TX DOB/19750606 HGT/509 WGT/153 EYE/BRO HAI/BRO  
SKN/FAR SOC/123456789 DLC/19991201  
OCA/56789  
MIS/LAST SEEN WEARING BLUE PANTS AND RED SHIRT  
NIC/M00069216 DTE/19990101 0100 EST

The \$.K. administrative message is also provided to NCMEC if the MIF Field contains a Y.

### **\$.L. Locate Notification**

A \$.L. administrative message is transmitted to the agency that originated an NCIC 2000 record when another agency places a locate message to indicate that an item(s) of stolen property was recovered or that an individual was apprehended or located.

The following is an example of a \$.L. administrative message:

\$.L.  
 VA0290100  
 LOCATE NOTIFICATION AT 1632 EDT 19990711  
 LV.MD1012600. LIC/123456. OCA/99999.19990710.97-2389  
 LOCATING ORI IS ANY CITY PD MD

MKE/LOCATED VEHICLE  
 ORI/VA0290100 LIC/123456 LIS/VA LIY/1997 LIT/PC  
 VIN/1HGCB7675NA132021 VYR/1966 VMA/OLDS VMO/SUP VST/2T  
 VCO/WHI/BLU DOT/19970103 OCA/99999  
 LOCATED/19990710 MD1012600 97-2389  
 NIC/V756196908 DTE/19970125 1230 EST

FBI CJIS permits the NICB to locate an NCIC 2000 Vehicle File record, i.e., place a record in inactive status (MKE/LV), when NICB receives information concerning the recovery of a stolen vehicle and an inquiry reveals that the NCIC 2000 record is in active status (MKE/EV). Additional information can be found in the Vehicle File chapter.

A \$.L. administrative message is sent to NCMEC when a missing person record is located and the MIF Field contains a Y.

**\$.M. Unidentified/Missing Person Match Notification**

A \$.M. administrative message is sent to the ORI initiating an entry/modification transaction that results in potentially positive hits during the missing/unidentified person comparison. It is also sent to the ORI(s) of record for the possible matches from the comparison.

The following is an example of a \$.M. administrative message:

\$.M. L01  
 WV1012600

YOUR RECORD WITH NIC/U123456789 OCA/3456789 IS A POSSIBLE MATCH WITH THE FOLLOWING RECORD(S).

THIS SEARCH WAS INITIATED BY THE ENTRY/UPDATE OF NIC/U123456789.

NIC	ST	SEX/ RAC	EYB/YOB	HGT	WGT	HAI	DBF/DLC	MATCH DATA
M111444777	MD	M/W	1943	510	150	HAZ BRO	19790101	FPC/EYE/SMT
M827362564	VA	M/B	1942	508	138	HAZ BRO	19770526	EYE
M987654321	CA	M/A	1944	509	160	BRO GRY	19791010	HAI
M182736473	PA	M/I	1943	508	145	BRO BRO	19780928	ALL FIELDS
M437682147	AZ	M/I	1943	508	145	BRO BLN	19780928	ALL FIELDS
M827364536	NV	M/W	1940	505	130	BRO BRO	19770207	ALL FIELDS

MAKE INQUIRY ON NCIC (NIC) NUMBER TO OBTAIN COMPLETE RECORD(S).

In situations when more than 100 possible match records are found, the following will be appended to the \$.M. message:

ADDITIONAL POSSIBLE MATCHES AVAILABLE, CONTACT NCIC CONTROL IF NEEDED.

Upon receipt of a \$.M. message, the inquiring agency must review all of the information in the candidate record(s) and contact the agency(s) that entered the record(s) to confirm possible matches.

The \$.M. administrative message is also provided to NCMEC when the MIF Field contains Y.

**\$.N. Unidentified/Missing Person No Match Notification**

A \$.N. administrative message is sent to the ORI initiating an entry/modification transaction that results in no potential matches during the missing/unidentified person comparison.

The following is an example of a \$.N. administrative message:

\$.N.  
MD1012600  
YOUR RECORD WITH NIC/M987654321 OCA/123456789 HAS BEEN SEARCHED.  
THE SEARCH DID NOT PRODUCE ANY POSSIBLE MATCHES.

**\$.O. Convicted Person On Supervised Release Notification**

A \$.O. administrative message is sent to the ORI of the record when an inquiry, entry, or modification transaction results in a hit response containing a convicted person record.

The following is an example of a \$.O. administrative message:

\$.O.  
MD1012600  
ORI/DC1234567 IS DC POLICE STATION  
HDR/1L01HEADER  
  
AS A RESPONSE TO AN INQUIRY, A HIT OCCURRED ON A PROBATION OR  
SUPERVISED RELEASE STATUS RECORD.  
PLEASE CONTACT REQUESTING ORI FOR DETAILS.  
  
NAM/SMITH, JOHN DOB/19520521 OCA/123456777 SOC/123456789  
DPE/19990210  
NIC/H123243547 DTE/19980205 2000 EST

**\$.P. Purge Notification**

This message is sent to the entering agency when a record has been retired because it has reached the end of its retention period. The records that are subject to \$.P. messages are temporary felony want records, felony vehicle records, vehicle records not containing a VIN or OAN, boat records without a BHN or OAN, and located records (each chapter contains a section on Automatic Retirement).

The following is an example of a \$.P. administrative message:

\$.P.  
MD1012600  
  
THE FOLLOWING RECORD HAS BEEN PURGED BY THE FBI COMPUTER DUE TO  
EXPIRATION OF THE RETENTION PERIOD.  
  
MD1012600  
MKE/STOLEN BOAT  
ORI/MD1012600 REG/DC1234ZZ RES/DC REY/1996 HUL/WD BYR/1995 PRO/OB  
BMA/LBC BTY/RUN BLE/17 BCO/RED DOT/19970820 OCA/3245353  
NIC/B528475481 DTE/19970822 1230 EST

For Protection Order File records, the ORI of record will receive a \$.P. message 5 days before the record is to expire. This unsolicited message alerts the agency that if the court changed the Protection Order's expiration date (EXP), the record should be modified.

The following is an example of the message:

```
$.P.
MD1012600
THE FOLLOWING RECORD WILL BE PLACED IN EXPIRED STATUS IN FIVE DAYS
BY THE FBI COMPUTER BASED ON THE EXPIRATION DATE CONTAINED IN THE
PROTECTION ORDER RECORD.
UNLESS ACTION IS TAKEN TO INCREASE THE EXPIRATION DATE,
MODIFICATION OR CANCELLATION OF THE RECORD WILL BE PROHIBITED
AFTER THE FIFTH DAY.
```

```
ORI/MD1012600 NAM/SMITH, JOHN J SEX/M RAC/W POB/TX DOB/19491012
HGT/510 WGT/175 EYE/BRO HAI/BRO SKN/DRK SMT/SC R HND
FPC/121011C0141159TTCI13 MNU/AS-123456789 SOC/123456789
PNO/3425163553 BRD/Y ISD/19960112 EXP/19990112 CTI/VA124567
PPN/SMITH, JULIA PSX/F PPR/W PPB/19500910
PCO/SUBJECT IS RESTRAINED FROM ABUSING, HARASSING, OR STALKING THE
PROTECTED PERSON
OCA/611112131
NIC/H146203706 DTE/19960120 0100 EST
```

If no action is taken by the entering agency to modify the EXP, the record will expire after the 5th day. Expired and inactive records (cleared) will be maintained on-line for the remainder of the year plus 5 years. At the end of that time, NCIC 2000 will notify the ORI of record. This time, the unsolicited \$.P. message will advise the agency that the record is being purged because it has reached the end of the retention period. Records that are in an expired or inactive status cannot be modified.

For Convicted Sexual Offender Registry File records, the ORI of record will receive a \$.P. message when the current date is the same as the date in the ERD Field.

An example of the message follows:

```
$.P.
MD1012600
THE FOLLOWING RECORD HAS BEEN PLACED IN EXPIRED STATUS BY THE FBI
NCIC BASED ON THE RETENTION PERIOD OF THE CONVICTED SEXUAL OFFENDER
RECORD.
```

```
ORI/MD1012600 NAM/DOE, JOHN SEX/M RAC/W POB/MD DOB/19530531
HGT/601 WGT/209 EYE/BLU HAI/BRO FBI/1234567 SKN/ALB
SMT/SC R HND
FPC/121011C01159TTCI13TT MNU/AS-123456789 SOC/123456789
ORD/19960923 ERD/19990101SXP/N CRR/4007
CON/19960510 PLC/MD AOV/12 SOV/F DNA/Y
OCA/923112665
NIC/X146203706 DTE/19960930 1030 EDT
```

Expired records will be maintained on-line for the remainder of the year plus 10 years. Inactive, cleared records will be maintained on-line for the remainder of the year plus 5 years.

At the end of that time, NCIC 2000 will notify the ORI of record. This time, the unsolicited \$.P. message will advise the agency that the record is being purged because it has reached the end of the retention period. Records that are in an expired/inactive status cannot be modified.

For VGTOF Group Member records, the ORI of record will receive a \$.P. message when a Reference Group Member is purged because the Reference Group no longer exists (the Reference Group was canceled by the owning ORI).

The following is an example of the message:

```
$.P.  
MD1230000  
THE FOLLOWING GANG MEMBER RECORD HAS BEEN PURGED BY THE FBI COMPUTER  
BECAUSE AN ASSOCIATED GANG REFERENCE RECORD IS NOT ON FILE.
```

```
ORI/MD1230000 NAM/DOE, SAM SEX/M RAC/W POB/MD DOB/19730531  
HGT/601 WGT/209 EYE/BLU HAI/BR FBI/1234567 SKN/DRK SMT/SC R HND  
FPC/121011C01159TTCI13TT MNU/MD-123456789 SOC/123456789  
GNG/CRIPS*BTMD SGP/ROARING50S*BTMD ECR/A DOP/20010115 OCA/3245323  
NIC/T146203706 DTE/19980116 1245 EST
```

The \$.P. message is sent to the NICB when a vehicle, part, or boat record has been purged. The records that are subject to \$.P. messages are vehicle records without a VIN or OCA; boat records without a BHN or OAN; located records in suppressed status; or vehicle/part/boat records purged because they were not validated.

The following is an example of the message:

```
$.P.  
NICB NOTIFICATION AT 1600 EST 19990830  
THE FOLLOWING RECORD HAS BEEN PURGED BY THE FBI COMPUTER DUE TO  
EXPIRATION OF THE RETENTION PERIOD.  
NIC/B528475481 OCA/3425233
```

### **\$.Q. Sexual Offender Notification**

A \$.Q. administrative message is sent to the ORI of an existing Convicted Sexual Offender Registry File record when another Convicted Sexual Offender Registry File record is entered with or modified to include a FBI Number that matches the FBI Number of the existing record.

The following is an example of a \$.Q. administrative message:

```
$.Q.  
MD0012600  
INDIVIDUAL OF YOUR RECORD WITH NIC/X123456546 HAS BEEN MATCHED BY  
FBI NUMBER TO A NEWLY ENTERED SEXUAL OFFENDER RECORD WITH  
NIC/X999999980 INTO NCIC.  
PLEASE REVIEW YOUR RECORD AND CANCEL IF NO LONGER VALID.
```

**\$.R. Transmit Benefits Data Notification**

A \$.R. is transmitted to the ORI of the transaction when the System is in statistics mode and a NCIC 2000 formatted locate or clear transaction is entered without benefits data and benefits data have not been previously supplied for the record.

```
$.R.
VA0290100
THE FOLLOWING RECORD WAS CLEARED WITHOUT BENEFITS DATA
MKE/CANCELED STOLEN VEHICLE
ORI/VA0290100 LIC/1234567 LIS/VA LIY/1998 LIT/PC

VIN/3J573A7012345 VYR/1971 VMA OLDS VMO/SUP VST/2T
VCO/WHI/BLU DOT/19980103 OCA/99999
NIC/V756196908 DTE/19980125 1130 EST
```

**\$.S. Statistics Mode Notification**

A \$.S. is transmitted when the NCIC 2000 System enters the statistics mode.

```
$.S.
STATISTICS MODE NOTICE
ALL REMOVALS OF NCIC RECORDS
MUST CONTAIN REASON FOR RECORD REMOVAL AND
APPROPRIATE BENEFITS DATA FOR PERIOD
0600 EST 19991101 TO 0600 EST 19991102
```

This message is transmitted when NCIC 2000 Fingerprint Matching Subsystem is out of service.

**III ADMINISTRATIVE MESSAGES**

III administrative messages will be received by all control terminals regardless of participation in the III. All III administrative messages can be found in the III chapter.

**NICS ADMINISTRATIVE MESSAGES**

A NICS out-of-service notification is transmitted when NICS is going out of service.

```
$.NICS.DOWN.
NICS GOING DOWN

NICS OUT OF SERVICE UNTIL <hhmm> EST
```

A NICS return to service notification is transmitted when NICS is returned to service.

```
$.NICS.UP.
NICS IN SERVICE AT <hhmm> EST
```

## **SECTION 3--QUALITY CONTROL, VALIDATION, AND OTHER PROCEDURES**

### **3.1 MAINTAINING SYSTEM INTEGRITY**

The primary responsibility for the entry and maintenance of accurate, timely, and complete records lies with the entering agency. However, the Control Terminal Agency (CTA) assumes a large degree of administrative responsibility, and possible legal liability, for the maintenance of a criminal justice information system. This responsibility is being further defined by the courts. Accordingly, the CTA should institute appropriate and reasonable quality assurance procedures for all federal and state System users. It appears from the cases reviewed that the courts have specifically addressed the issue as to whether criminal justice information system administrators (i.e., Control Terminal Officer [CTO], Federal Service Coordinator [FSC], or agency head) can be held liable for the negligent mishandling of a criminal justice record. In relation to Title 42, United States Code 3771, there is a standard which is prescribed for record management and, perhaps, the establishment of maintenance standards for these records. Criminal justice agencies specifically have a duty to maintain records that are accurate, complete, and up-to-date. To ensure reasonably sufficient record management, each CTA should ensure that there are security standards, audit standards, and personnel training standards which allow accurate and up-to-date records and proper/secure dissemination of the same. The following standards have been established and approved by the CJIS APB with regard to security, audit, and training:

#### **1. Security**

Security standards are documented in the CJIS Security Policy. The CJIS Security Policy includes personnel, physical and technical security, as well as user authorization and dissemination.

#### **2. Audit**

All federal and state CTAs shall establish a system to biennially audit every terminal agency to ensure compliance with state and FBI CJIS policy and regulations.

In addition to audits conducted by all CTAs, each federal and state CTA shall be audited at least once every two years by the FBI CJIS audit staff. This audit shall include a sample of state and local criminal justice agencies. The objective of this audit is to verify adherence to FBI CJIS policy and regulations and is termed a compliance audit. In order to assist in this audit, each CTO and FSC will respond to a preaudit questionnaire which will serve as the audit guideline. A compliance audit may be conducted on a more frequent basis should it be necessary due to failure to meet standards of compliance.

Such compliance audits shall cover the following areas in connection with both the III and NCIC 2000 stolen property and person records:

1. **Accuracy**

Any NCIC 2000 entry should contain only correct data. In addition, CTAs should maintain necessary documentation as required by FBI CJIS policy. They should also ensure that documentation is available from state and local users accessing NCIC 2000 through them.

2. **Completeness**

Information contained in an NCIC 2000 entry or in a criminal history record to be disseminated is comprised of all the pertinent available information.

3. **Timeliness**

Entry, modification, update, and removal of information are completed as soon as possible after information is available and information is processed and transmitted in accordance with standards as established by the APB.

4. **Security**

An organization protects its information against unauthorized access, ensuring confidentiality of the information in accordance with laws and FBI CJIS policy, regulations, and standards.

5. **Dissemination**

All information released is in accordance with applicable laws and regulations, and a record of dissemination of criminal history records is maintained.

In addition, CTAs should ensure that documentation is available from local users to assist in biennial state and federal audits.

3. **Training**

CTAs must :

1. Within 6 months of employment or assignment train, functionally test, and affirm the proficiency of terminal (equipment) operators in order to assure compliance with FBI CJIS policy and regulations;
2. Biennially, provide functional retesting and reaffirm the proficiency of terminal (equipment) operators in order to assure compliance with FBI CJIS policy;

3. Maintain records of all training, testing, and proficiency affirmation;
4. Initially (within 12 months of employment or assignment) provide all sworn law enforcement personnel with basic training in NCIC 2000 matters to ensure effective use of the System and compliance with FBI CJIS policy regulation;
5. Make available appropriate training on NCIC 2000 System use for criminal justice practitioners other than sworn personnel;
6. Provide all sworn law enforcement personnel and other practitioners with continuing access to information concerning NCIC 2000/state Systems using methods such as roll call and in-service training;
7. Provide peer-level training on NCIC 2000 System use, regulations, policy, audits, sanctions, and related civil liability for criminal justice administrators and upper-level managers; and
8. Annually review all curricula for relevancy and effectiveness.

### **3.2 MAINTAINING THE INTEGRITY OF NCIC 2000 RECORDS**

Agencies that enter records in NCIC 2000 are responsible for their accuracy, timeliness, and completeness. The FBI, as manager of the NCIC 2000 System, helps maintain the integrity of the system through: 1) automatic computer edits which reject certain common types of errors in data (edit instructions appear in each chapter of this manual where applicable), 2) automatic purging of records after they are in a file for a prescribed period of time (retention instructions appear in each chapter of this manual where applicable), 3) quality control checks by FBI CJIS Data Integrity staff, and 4) periodically furnishing lists of all records on file for validation by the agencies that entered them. This section addresses quality control and validation procedures.

#### **1. Accuracy**

The accuracy of NCIC 2000 records is an integral part of the NCIC 2000 System. The accuracy of a record must be double-checked by a second party. Agencies lacking staff support for this verification should require the case officer to check the accuracy of the record, as the case officer carries the primary responsibility for seeking the fugitive or recovering stolen property.

The verification of a record should include assuring all available cross checks, e.g., VIN/LIC, were made and that the data in the NCIC 2000 record match the data in the investigative report.

## 2. Timeliness

NCIC 2000 records must be entered promptly to ensure maximum System effectiveness. Explanation of “timely entry” as applied to files follows:

1. **Wanted Person File** -- Entry is made immediately after the decision to arrest or authorize arrest has been made.

Before entering a wanted person record in NCIC 2000, the entering agency must attempt to determine, to the maximum extent possible, if extradition will be authorized if the individual is located in another state. In situations where an agency is absolutely certain that the wanted person will not be extradited, the individual’s record may be entered in NCIC with NOEX as the first four characters of the MIS Field. Also, if there is a limitation concerning extradition of the wanted person, such information should be placed in the MIS Field of the record. In instances where an ORI will not honor the extradition of an individual, the ORI must initiate a modify message to include in the MIS Field of the record information concerning extradition limitations. Although all records may be entered into the NCIC 2000 Wanted Person File, extradition must be addressed prior to entry so that appropriate extradition information can be included in the record.

2. **Federal Fugitive Records** -- Entry is made immediately (i.e., within 24 hours) upon receipt of information by the inputting agency/office, after the decision to arrest or authorize arrest has been made.

Exceptions to this rule occur if imminent arrest is expected or other clear, identifiable, operational reasons would preclude immediate entry (e.g., insufficient descriptive data resulting in a “John Doe” warrant). Any exceptions to delayed entry in NCIC 2000 must be minimized and documented.

3. **Missing Person File** -- Entry is made as soon as possible once the minimum data required for entry (i.e., all mandatory fields) and the appropriate record documentation are available.
4. **Article, Boat, Gun, License Plate, Securities, Vehicle/Boat Part, and Vehicle Files** -- Entry is made as soon as possible once the minimum data required for entry (i.e., all mandatory fields) and the record documentation are available. Information about stolen license plates and vehicles should be verified through the appropriate motor vehicle registration files prior to record entry if possible. However, if motor vehicle registration files are not accessible, the record should be entered into NCIC 2000 and verification should be completed when the registration files become available.

5. **All other files** -- Entry is made as soon as possible once the minimum data required for entry (i.e., all mandatory fields) and the appropriate record documentation are available.

Additional explanations of “timely”:

1. Modifying, clearing, locating, or canceling a federal fugitive’s NCIC 2000 record should occur immediately (i.e., within 24 hours) upon receipt by the inputting agency/office of the information prompting the change.
2. **Timely modification** of a record is that which occurs as soon as possible following the detection of erroneous data in an existing record and as soon as possible following the receipt of data not already stored in the record.
3. **Timely inquiry** requires that the transaction is initiated before an officer begins writing an arrest or citation document of any kind; inquiries are stored when NCIC 2000 is not available and submitted at once when the System returns, regardless of whether the subject is still in custody; inquiry is made prior to release of a person who has been incarcerated; and inquiry is made upon those who appear at a custodial facility to visit inmates.
4. **Timely entry** of a locate is that which occurs as soon as reasonably possible once the record in question has been confirmed with the originating agency.
5. **Timely removal** from the file requires immediate removal of the record once the originating agency has documentation that the fugitive has been arrested or is no longer wanted.

### **3. Completeness**

Complete records include all information that was available on the person or property at the time of entry. Validation should include a review of whether additional information which is missing from the original entry that could be added has become available for inclusion to the record.

Complete inquiries on persons include numbers, i.e., Social Security number, passport, vehicle identification number, license plate, driver’s license, etc., that could be indexed in the record. Inquiries should be made on all names/aliases used by the suspect. Complete vehicle queries include vehicle identification number and license plate numbers.

### **3.3 QUALITY CONTROL**

FBI CJIS personnel periodically check records entered in the System for accuracy. Errors discovered in records are classified as serious errors or nonserious errors. This classification determines the type of action that is taken by FBI CJIS.

## **1. Serious Errors**

1. Wanted Person File records which indicate that the subject is wanted for questioning only.
2. Records entered for cashier's checks, bank drafts, bank officer's checks, certified checks, checks issued to card holders by credit card companies, company checks, government checks (local, state, and federal), personal checks, personal notes, and promissory notes.
3. Records entered for stolen credit cards.
4. A missing person, wanted person, license plate, or vehicle record containing inaccurate vehicular and/or license data that has been verified as inaccurate by the State Department of Motor Vehicles (DMV) where the vehicle is registered or by comparison with VIN specifications obtained from the manufacturer.

Such inaccuracies can be uncovered when the state of registry compares license and vehicular data in the NCIC 2000 \$.8. message with records contained in its DMV Files. Upon discovery of inaccurate data, the state of registry should advise the ORI of the error. If the ORI fails to correct the error within a reasonable period of time, the state of registry should notify FBI CJIS. The entry of incorrect data in the LIC, License Plate Year of Expiration (LIY), or VIN Fields will be considered a serious error. Incorrect data entered in any of these fields might lead to a false arrest or possibly more serious consequences. On notification from the state of registry, FBI CJIS will cancel a Vehicle or License Plate File record which contains inaccurate information in the LIC, LIY, or VIN and will delete the inaccurate vehicular and/or license data from a Wanted or Missing Person File record.

5. Records entered in the wrong file.
6. Stolen property records entered with a nonunique number such as a stock number, model number, an owner applied number in the SER Field, a nonunique boat hull number, or nonunique boat registration number, etc.
7. Stolen property records entered with generic codes which do not have the manufacturer's name or other identifiable data in the record.

## **2. FBI CJIS Procedures for Errors**

In connection with maintaining the integrity of NCIC 2000 records, each state control terminal agency should continue to develop and maintain stringent quality control

procedures to ensure that all records in NCIC 2000 are kept accurate, complete, and up-to-date.

**1. Serious Errors**

1. In cases of serious errors, FBI CJIS will cancel the record and transmit a \$.E. administrative message to the entering agency. The \$.E. message provides the entire canceled record and a detailed explanation of the reason for cancellation.
2. Assumption of this limited responsibility for cancellation of a user's entries in connection with the foregoing quality control procedures does not make the FBI the guarantor of the accuracy of NCIC 2000 records. The ORI is responsible for the accuracy, completeness, and current status of its records entered in NCIC 2000.

**2. Nonserious Errors**

1. A nonserious error is by definition an error found in any NCIC 2000 record which is not covered by the above serious error list.
2. When a nonserious error trend is discovered, FBI CJIS will mail a letter to the appropriate CTA. The CTA will forward a copy of the letter or a similar letter to the agency originating the record so corrective action can be taken. No further action will be taken by FBI CJIS.

**3.4 VALIDATION**

1. Validation obliges the ORI to confirm that the record is complete, accurate, and still outstanding or active. Validation is accomplished by reviewing the original entry and current supporting documents, and by recent consultation with any appropriate complainant, victim, prosecutor, court, or other appropriate source or individual. In the event the ORI is unsuccessful in its attempts to contact the victim, complainant, etc., the entering authority must make a determination based on the best information and knowledge available whether or not to retain the original entry in the file.
2. Each month, CTAs receive a file of records to be validated. The CTAs in turn distribute the records to be validated to the ORIs as appropriate.

The validation process is implemented in two phases in NCIC 2000:

1. During Phase 1 (extending 3 years after Initial Operational Capability- IOC), the users are expected to validate records as they did prior to NCIC 2000 implementation. One letter is used to acknowledge receipt of the validation

material. This acknowledgment letter must be returned to FBI CJIS immediately. A second letter is for the CTA to certify that it has validated its records and/or has received certification from the originating agencies under its service jurisdiction that they have validated their records.

During Phase 1 of NCIC 2000, users have the option to validate their records on-line using a modify transaction. If the user validates the record prior to receiving a validation request, (up to one calendar month ahead of validation), that record will not be picked up during the next validation cycle. Validating on-line during Phase 1 will also help prepare users for the on-line validation process fully implemented in Phase 2. Users who choose to validate their records on-line are still required to follow current NCIC 2000 validation procedures as defined herein.

2. Phase 2 is currently scheduled to start 3 years after NCIC 2000 is operational. At that time, validation will be performed on-line only. This is accomplished by using a modify transaction in which the Name of Validator (VLN) Field is filled out. This constitutes validation and the NCIC 2000 System inserts a Date of Last Validation (VLD) in the record.

Records that have been validated within the last calendar month are not retrieved for validation during the next validation cycle.

Records that are not validated within 30 days from the request for validation or within the last 90 days will be automatically retired. The CTA will receive a \$.F. notification indicating that the record is being retired due to failure to validate.

### 3. Validation Schedule

The following address only requirements for Phase 1 of NCIC 2000 validation implementation.

1. On a monthly basis, the NCIC 2000 System extracts active records on file for validation purposes. The validation includes a portion of each file and includes those records 60-90 days old. In addition, it includes any records 14-15 months old, 26-27 months old, 38-39 months old, etc. The validation schedule is as follows:

<b>Validation:</b>	<b>Entries Made on:</b>
January.....	October
February.....	November
March.....	December

**Validation (continued):      Entries Made on:**

April.....	January
May.....	February
June.....	March
July.....	April
August.....	May
September.....	June
October.....	July
November.....	August
December.....	September

FBI CJIS policy states that records in the Vehicle (including parts), Boat ,and Gun Files must be validated only once when they are 60-90 days old. However, CTAs can request to validate these records on the schedule listed above.

2. The NCIC 2000 System sorts records by CTAs. On a monthly basis, the CTAs are advised when a file of records to be validated can be retrieved by way of a \$.B. notification. Upon receiving this notification, the CTA has 72 hours to initiate a file transfer (FT) transaction, or the file will be deleted. **It is important that a CTA request its validation file by initiating a file transfer immediately.** Within the file of records to be validated, each record is presented as a \$.C. REQUEST FOR VALIDATION message. The CTA distributes the records to be validated to the ORIs as appropriate. During Phase 1 only, the ORIs have 45 days from the validation request to validate their records; thereafter, it will be 30 days.

The sequence of records included in the file is as follows:

1. Wanted/Gang/Terrorist Member
2. Missing/Unidentified
3. Vehicle/License Plate/Part/Boat
4. Gun
5. Securities
6. Protection Order
7. Convicted Person on Supervised Release
8. Convicted Sexual Offender Registry

If the record has been validated electronically within the last calendar month, then the record is considered validated and is not included in the file of records to be validated.

3. Article File records are not included in the validation process since they have a short retention period. All other files are subject to validation.

4. Each agency must keep in mind the synchronization of records. The records being validated will be chosen by date of entry, Eastern Standard Time (EST) into NCIC 2000. Agencies located in a different time zone must realize that the validation will include records entered after midnight EST on the first of the month through midnight on the last day of the month. The \$.C. demonstrates the validation format.

#### **4. Validation Procedures**

Validation procedures must be formalized and copies of these procedures must be on file for review during an FBI CJIS audit. In addition, documentation and validation efforts must be maintained for review during such audit.

#### **5. Validation Acknowledgment and Certification**

1. Validation certification means that:
  1. The records contained on the validation listing have been reviewed by the originating agencies;
  2. The records which are no longer current have been removed from NCIC 2000 and all records remaining in the System are valid and active;
  3. Records contain all available information; and
  4. The information contained in each of the records is accurate.
2. Certification response conditions:
  1. The certification letter must be returned to FBI CJIS within 45 days from the date that FBI CJIS sent the \$.B. notification.
  2. If a CTA has not received a certification response from an agency under its service jurisdiction in time to certify to FBI CJIS that all records have been validated, the CTA shall remove from NCIC 2000 all records which are the subject of that agency's validation listing.
  3. If a CTA fails to certify any validation listing to the FBI CJIS within the specified time, FBI CJIS shall remove all of that state's invalidated records.

**After the 3-year transition period, IOC + 3 years, validation will be performed on-line only. Records will be automatically purged if they are not validated within the required timeframe.**

### **3.5 HIT CONFIRMATION PROCEDURES**

1. Any agency which receives a record(s) in response to an NCIC 2000 inquiry must confirm the hit on any record(s) which appears to have been entered for the person or property inquired upon prior to taking any of the following actions based upon the hit NCIC record: 1) arresting the wanted person, 2) detaining the missing person, 3) seizing the stolen property, or 4) charging the subject with violating a protection order.

Confirming a hit means to contact the agency that entered the record to:

1. Ensure that the person or property inquired upon is identical to the person or property identified in the record;
  2. Ensure that the warrant, missing person report, protection order, or theft report is still outstanding; and
  3. Obtain a decision regarding: 1) the extradition of a wanted person when applicable, 2) information regarding the return of the missing person to the appropriate authorities, 3) information regarding the return of stolen property to its rightful owner, or 4) information regarding the terms and conditions of a protection order.
2. Hit confirmation procedure is based on two levels of priority: Urgent and Routine.

#### **Priority 1: Urgent**

The hit must be confirmed within 10 minutes. In those instances where the hit is the only basis for detaining a suspect or the nature of a case requires urgent confirmation of a hit, priority 1 should be specified.

#### **Priority 2: Routine**

The hit must be confirmed within 1 hour. Generally, this priority will be used when the person is being held on local charges, property has been located under circumstances where immediate action is not necessary, or an urgent confirmation is not required.

3. After establishing the priority level, the agency should then follow these procedures:
  1. Upon receipt of a hit confirmation request, the ORI of the record must furnish a substantive response within the designated timeframe, i.e., a positive or negative confirmation or notice of the specific amount of time necessary to confirm or reject.

2. If the agency requesting confirmation does not receive a substantive response within the designated timeframe, the agency should generate a second request with a copy to its CTO/SC and to the CTO/SC of the agency that originated the record. The CTO (or his/her designee) of the originating agency will initiate appropriate action to ensure proper response to a hit confirmation request and to comply to System standards. The CTO action must include canceling the record.
3. If the agency still fails to receive a response, the agency should then notify the NCIC Quality Control staff by a third message with a copy to the CTAs involved. Failure on the part of any CTA to ensure such compliance will be brought to the attention of the APB.
4. The National Law Enforcement Telecommunications System, Inc. (NLETS) is the recommended network for hit confirmation. Even if the initial confirmation is handled via telephone, NLETS should be used for documentation. NLETS has created an inquiry (YQ) and a response (YR) format for hit confirmation.

Responsibilities for the hit confirmation process are shared between the agency that received the hit and the agency that enters the record.

5. Every agency upon taking a person into custody or acquiring property, after confirming the hit, must place a locate on the corresponding NCIC record(s).

### **3.6 HEADERS**

1. A header is a sequence of characters acceptable to the NCIC 2000 computer which is used to provide message information for the CTA. A header will not be stored as part of any NCIC 2000 record (other than the transaction log), but will be held temporarily during processing of the incoming message and returned to the originating terminal as the first item in the NCIC 2000 System's response and/or acknowledgment.
2. **Header Requirements:**
  1. Each header must contain a minimum of 9 characters and may contain a maximum of 19 characters.
  2. All characters must be from the NCIC 2000 Character Set defined in 3.7 of this section.
  3. The first 4 characters of the header are used by the NCIC 2000 System for appropriate routing.

4. The first 4 characters dictate which edits are enforced and what fields are allowed based on whether it is an NCIC or NCIC 2000 format.

**3. Header Prefixes:**

1. 1L01 -- Directs the message to any one of the NCIC hot files, i.e., all person and property files. The 1L01 header on an incoming transaction indicates the user is performing a transaction using the NCIC format.
2. 1N01 -- Directs the message to any one of the NCIC 2000 hot files, i.e., all person files, all property files, and all new files: Convicted Sexual Offender Registry and Convicted Person on Supervised Release. The 1N01 header on an incoming transaction indicates the user is performing a transaction using the NCIC 2000 format.
3. TL01 -- Directs the message to any one of the test NCIC hot files, i.e., all person and property files. The TL01 header on an incoming transaction indicates the user is performing a test transaction using the NCIC format.
4. TN01 -- Directs the message to any one of the test NCIC 2000 hot files, i.e., all person files, all property files, and the following new files: Convicted Sexual Offender Registry and Convicted Person on Supervised Release. The TN01 header on an incoming transaction indicates the user is performing a test transaction using the NCIC 2000 format (except image transactions).
5. 1B01 -- Is used when NCIC 2000 image transactions are performed, i.e., the following MKEs: Enter Image (EIM), Modify Image (MII), Fingerprint Cold Search (QIC), and Fingerprint Verification (QIS).
6. TB01 -- Directs the message to the test NCIC 2000 hot files when NCIC 2000 test image transactions are performed, i.e., the following MKEs: EIM, MII, QIC, and QIS.
7. 2L01 -- Directs the message to the III File.
8. 6L01 -- Directs the message to NICS.
9. ML01 -- Directs the message to NLETS.
10. Positions 5 through 17 are reserved for the user agency. Characters 18 and 19 are reserved for use by the NCIC 2000 workstation in addressing Mobile Imaging Units (MIUs). This is applicable only when the transaction was originated by a MIU developed by the NCIC 2000 program or one using the software developed by NCIC 2000.

4. The NCIC 2000 response to any transaction begins with a header in which the first 4 characters identify the type of response that follows, i.e., the last transmittable unit of a response contains L in the second position (1L01); each transmittable unit belonging to the same response contains a unique sequence number in position 2 through 4 of the header (e.g., 1011); the second digit of the response header is either L (last transmittable unit) or O; and the next two digits may be anything from 01 to 99.

### **3.7 CHARACTER SET**

1. The NCIC 2000 character set is comprised of the alpha characters A through Z, the numeric characters 0 through 9, the comma (,), the dollar sign (\$), the ampersand (&), the hyphen (-), the blank or space, the slash (/), the asterisk (\*), the pound sign (#), the left parenthesis ((), the right parenthesis ()), the plus sign (+), the semicolon (;), the percent sign (%), and the apostrophe (').
2. In addition, the at sign, (@), is acceptable for Special Requests, SPRQ transactions.
3. A period (.) is used as a delimiter only. It must be used to end each field of data in the message except the last field prior to the end of transmission (EOT) in which case the period is optional.
4. The NCIC 2000 computer automatically changes the alphabetic "O" used in NCIC 2000 transactions to the numeric (0). The alphabetic "O" will only appear in the message field codes, ORI records in response to an inquiry, and informational and/or instructional phrases transmitted by the NCIC 2000 System. For example: DOB, DCOSI0000, NO NCIC RECORD, and IMMED CONFIRM RECORD WITH ORI. Headers are not converted, even though an O in any of the first 4 positions would be rejected.

### **3.8 RETENTION OF TERMINAL-PRODUCED PRINTOUT**

1. When an operational inquiry on an individual or property yields a valid positive response (hit), the terminal-produced printout showing the inquiry message transmitted and the record(s) on file in NCIC 2000 should be retained for use in documenting probable cause for the detention of the missing person, arrest of the wanted person, or seizure of the property. The printout may also prove valuable in a civil suit alleging a false arrest, a false imprisonment, a civil rights violation, or an illegal seizure of property. If two-part paper is used, either the original or the legible copy is admissible in federal court. Whether a state court will accept the legible copy or whether only the original will suffice depends on the state's rules of evidence.
2. When an NCIC 2000 inquiry yields a hit, the terminal employee making the inquiry should note on the terminal-produced printout precisely how, when, and to whom the information was given, initial and date this notation, and forward the printout to the inquiring officer or agency for retention in the case file. This procedure establishes

the chain of evidence for the communication should the arresting officer need to substantiate actions in a judicial proceeding.

3. The printout should be retained for as long as there remains any possibility that the defendant will challenge the arrest, search, or other law enforcement action taken because of the information contained on the printout. The printout should be retained until all possible levels of appeal are exhausted or the possibility of a civil suit is no longer anticipated.

### **3.9 NAME MATCHING**

1. The technique used to match the name in an inquiry with the name in a record on file in NCIC 2000 is called the New York State Identification and Intelligence System (NYSIIS). NYSIIS coding is used in the Name (NAM), Alias (AKA) and Protected Person Name (PPN) Fields of the person files and the Owner (OWN) Field of the Securities File where the owner is an individual. When the inquiry includes both NAM and DOB, primary hits are determined by using a phonetic encoding of the last name and an exact match on the input month and day of birth and a range of plus or minus 1 year on the input year of birth. An extended NYSIIS algorithm is used.
2. If the input last name corresponds to a name within a list of common surnames, the primary hit is further qualified by comparing the first character of the input given name to the first character of a given name on a person's record.
3. If the input given name corresponds to a list of NCIC 2000 nicknames, it is replaced by a corresponding proper name specified in the nickname for search purposes. For example, Bill is replaced with William and Betty is replaced with Elizabeth.
4. If the input last name contains a hyphen (-), primary hits are determined by using each hyphenated name part as a last name as well as all combinations of the hyphenated name parts. For example, a surname of Saenz-Parada-Lopez will be searched as Saenz-Parada-Lopez, Saenz-Lopez-Parada, Lopez-Parada-Saenz, Lopez-Saenz-Parada, Parada-Lopez-Saenz, Parada-Saenz-Lopez, Saenz, Parada, and Lopez.
5. **Expanded Name Search:** If the input value of ENS is the character "Y" and NAM and DOB are specified, primary hits are determined using each input name part as a last name, interchanging the remaining name parts as given names. For example, Bryan, Morgan Lee; Bryan, Lee Morgan; Morgan, Lee Bryan; Morgan, Bryan Lee; Lee, Morgan Bryan; and Lee, Bryan Morgan.

### **3.10 NAME SEARCH IN III**

The III name search technique is explained in detail in the III chapter.

### **3.11 TERMINAL AND/OR LINE FAILURE**

1. Every effort will be made to notify users on-line when the NCIC 2000 computer is going out of service. However, when NCIC 2000 goes out of service unexpectedly, an out-of-service message cannot be sent. Operational failure of a user's terminal may result from one of four conditions:
  1. The NCIC 2000 computer is out of service;
  2. The control terminal fails or is out of service;
  3. A circuit problem; or
  4. The user's terminal malfunctions.

A CTA should make every effort to verify that the difficulty does not lie within its terminal equipment. If the difficulty is a terminal malfunction, the CTA should notify the local terminal maintenance office for repair.

2. System activity and line traffic are monitored at the NCIC 2000 computer center. When there is line difficulty or malfunctioning of a data set, the area office of the vendor providing communication service is immediately notified by FBI CJIS. It is not always possible to make a specific diagnosis of the trouble at the FBI CJIS. In some cases, it is only known that an agency is not responding or is not responding properly to the NCIC 2000 computer. If, after a reasonable amount of time, the user's problem has not been rectified, FBI CJIS will notify the appropriate vendor.
3. When an out-of-service status and an analysis indicate that the problem is not terminal equipment difficulty such as power supply, paper supply, switches improperly set, or terminal malfunction, a CTA should:
  1. Immediately notify the local vendor providing communication service;
  2. Log the time of notification;
  3. Note the circumstances relating to the problem; and
  4. If after a reasonable period of time the vendor's efforts have not resolved the problem, notify the FBI CJIS (telephone 304-625-HELP [4357]) of the time the vendor was notified and a brief description of the problem.

### **3.12 FILE REORGANIZATION AND PURGE SCHEDULE**

NCIC 2000 no longer physically purges records during the monthly purge cycle as was the practice of NCIC. During the monthly purge cycle, NCIC 2000 sends the \$.P. notifications

to the ORIs informing them their record has been retired. The System will no longer require restricted service during the monthly purge process. Additionally, there is no longer a suppression period prior to purge where records were still available by an inquiry on NIC. This is no longer available because NCIC 2000 retires records immediately at the end of their retention period, making them accessible only through an SPRQ search.

### **3.13 III FILE RESTRICTED SERVICE**

Users are advised of restricted service periods through on-line transmissions of NCIC 2000 administrative messages. When the NCIC 2000 System goes out of service for more than 15 minutes without NCIC 2000 having previously sent an out-of-service message, a National Law Enforcement Telecommunications System (NLETS) All Points Broadcast is sent to advise users of the outage.

### **3.14 NCIC 2000 NUMBERS (NIC NUMBERS)**

1. Each record entry message that is accepted for storage in the NCIC 2000 System is assigned a unique **NCIC Number (NIC)** for record identification purposes. The NIC has 10 characters consisting of an alphabetic character which identifies the NCIC 2000 file in which the record is indexed, a 7-character unique number, and 2 check digits. In the past, NICs were assigned sequentially. NCIC 2000 will employ a random number generator to increase database efficiency. The only effect this has on the users is that they cannot expect NICs in sequentially increasing values.

2. The 2 check digits are used to validate NICs when they are used in inquiry messages and when they are used to identify records in modify, locate, cancel, and clear transactions.

#### **3. NIC Check Digit Algorithm**

When a NIC is used as an identifier in a cancel, clear, inquiry, locate, or modify message, the NCIC 2000 computer verifies the validity of the number using the 2 check digits, i.e., the last 2 characters of the number. The following is the algorithm used for the validation process:

The digits of the sequential number (positions 2 through 8 of the number) are multiplied by a value, as follows:

	<b>Multiplication Factor</b>
Position 2	8
Position 3	7
Position 4	6
Position 5	5

Position 6	4
Position 7	3
Position 8	2

The sums of these are totaled and a value, as indicated below, is added for the alphabetic file indicator. This total comprises the check digits. If the total is greater than 99, the high order digit is dropped.

File Indicator	File Indicator Value	Data Type
A	5	Article records entered on/between 1/27/67 and 5/5/86
	9	Article records entered on/between 5/5/86 and 4/21/98
	10	Article records entered on/after 4/21/98 and before NCIC 2000 cut-over
	11	Article records entered after NCIC 2000 cut-over
B	4	Boat records entered on/between 1/27/67 and 8/6/79
	8	Boat records entered on/between 8/6/79 and 8/8/88
	12	Boat records entered on/between 8/8/88 and 4/20/95
	13	Boat records entered on/between 4/20/95 and before NCIC 2000 cut-over
	14	Boat records entered after NCIC 2000 cut-over
C	1	Convicted Person on Supervised Release records
F	1	Violent Felon records entered on/prior to 5/8/97
	2	Violent Felon records entered on/after 5/8/97
G	2	Gun records entered before NCIC 2000 cut-over
	3	Gun records entered after NCIC 2000 cut-over
H	1	Protection Order Person records entered before NCIC 2000 cut-over
	2	Protection Order Person records entered after NCIC 2000 cut-over
M	7	Missing Person records entered on/prior to 2/13/97
	8	Missing Person records entered on/after 2/13/97
	9	Missing Person records entered after NCIC 2000 cut-over
N	1	Deported Felon Person records entered on/prior to 5/8/97
	2	Deported Felon Person records entered on/after 5/8/97
	3	Deported Felon Person records after NCIC 2000 cut-over
P	3	License Plate records entered on/before 2/23/96
	4	License Plate records entered before NCIC 2000 cut-over
	5	License Plate records entered after NCIC 2000 cut-over
R	11	CPIC Data records
	12	CPIC Data records entered after NCIC 2000 cut-over
S	6	Securities records entered before NCIC 2000 cut-over
	7	Securities records entered after NCIC 2000 cut-over

File Indicator	File Indicator Value	Data Type
T	1	Group/Terrorist Member Person records entered on/prior to 5/8/97
	2	Group/Terrorist Member Person records entered on after 5/8/97
	3	Group/Terrorist Member Person records entered after NCIC 2000 cut-over
U	7	Unidentified Person records entered on/prior to 2/13/97
	8	Unidentified Person records entered on/after 2/13/97
	9	Unidentified Person records entered after NCIC 2000 cut-over
V	4	Vehicle/Vehicle-Boat Part records entered on/between 1/27/67 and 8/6/79
	8	Vehicle/Vehicle-Boat Part records entered on/between 8/6/79 and 8/8/88
	12	Vehicle/Vehicle-Boat Part records entered on/between 8/8/88 and 4/20/95
	13	Vehicle/Vehicle-Boat Part records entered on/between 4/11/95 and before NCIC 2000 cut-over
	14	Vehicle/Vehicle-Boat Part records entered after NCIC 2000 cut-over
W	1	Wanted Person records entered on/prior to 5/8/97
	2	Wanted Person records entered on/after 5/8/97
	3	Wanted Person records entered after NCIC 2000 cut-over
X	1	Sexual Offender Person records
Z	10	Reference Group records
	11	Reference Group Records entered after NCIC 2000 cut-over

For example, if the NIC used in a transaction is V124862946, the check digits are verified as follows:

Sequential Number	Multiplication Factor		Sum
1	x 8	=	8
2	x 7	=	14
4	x 6	=	24
8	x 5	=	40
6	x 4	=	24
2	x 3	=	6
9	x 2	=	18
<b>Total</b>			<b>134</b>
<b>Value of V =</b>			<b>13</b>
<b>Total</b>			<b>147</b>

The high order digit (1) is dropped and the remainder (47) is the check digits value. Please note that for the Image NCIC Number (IMN), the adjustment value is 1.

### 3.15 NEW FEATURES

In addition to the differences between NCIC and NCIC 2000 that have been mentioned throughout this Introduction, the following capabilities are unique to the NCIC 2000 System.

#### 1. File Transfer

1. The file transfer capability provides a mechanism to:
  1. Retrieve off-line transaction responses (e.g., SPRQ, batch inquiry responses, excessive hits);
  2. Retrieve files of records to be validated;
  3. Retrieve general data such as manuals (e.g., code and operating) and technical updates;
  4. Retrieve code tables for use by workstation and Mobile Imaging Unit (MIU);
  5. Retrieve application software updates for workstation and MIU;
  6. Transfer Uniform Crime Reporting (UCR) data to NCIC 2000; and
  7. Provide file formats:

Files are either text or binary based on the file transfer mechanism required. The \$.B. File Transfer Ready Notification provides the file format option that should be used in the file transfer.

Text files are transferred as ASCII files. Examples of text files include: *NCIC 2000 Operating Manual*, Technical and Operational Updates, Code Tables, UCR data, etc.

Binary files are transferred as binary images and stored as ASCII files with embedded binary data by each processor participating in the transfer. An example of a binary file would be SPRQ results with both text and image data.

2. Authorization/Limitation:

Only direct-connect computers may establish file transfer sessions with the NCIC 2000 System. These include FBI work-stations internal to the FBI and

CTOs/FSCs computer systems. Only systems using the TCP/IP or SNA protocols can establish file transfer sessions. Each direct-connect computer will have an account with NCIC 2000 that will include a user name and password.

3. File Retention Time:

After a file transfer ready notification has been issued, files will be kept by NCIC 2000 for 72 hours. After this period of time, the NCIC 2000 computer will automatically delete the file including the validation files if the user has not retrieved it.

**2. Testing**

NCIC 2000 has a test database which is maintained independently of the active NCIC 2000 data files. The user is required to indicate the transaction is a test transaction, by using the proper header which starts with a T. NCIC 2000 directs such transactions to the test database. During transition (3 years from NCIC 2000 implementation) NCIC 2000 will accept transactions in both NCIC and NCIC 2000 formats. For testing purposes, therefore, the transactions can come in either format, as long as a header starts with a T (TL01 for NCIC transactions, TN01 for NCIC 2000 transactions). The following transactions will not be available for testing:

1. File Transfer
2. Request for Benefits and Effectiveness
3. Request for Error Profile
4. Request for Usage Analysis
5. Batch Inquiry
6. SPRQ (Global Inquiry)
7. III transactions
8. NICS transactions

Test transactions will not trigger any notifications nor will any delayed query processing occur following a test transaction. The test header which directs the transaction to the test database should be used; the operational database should not.

**3. Delayed Inquiry**

User inquiries are stored in NCIC 2000 for 5 days. Entry or modify transactions received by NCIC 2000 are checked against the log of inquiries. If any match occurs, both the user entering or modifying a record and the user who made the initial inquiry are respectively advised by way of a delayed inquiry notification and a delayed inquiry hit response (both \$.H. messages). The following inquiries are not subject to delayed query processing:

1. SPRQ (Global Inquiry)
2. Batch Inquiry
3. Request for Benefits and Effectiveness
4. Request for Error Profile
5. Request for Usage Analysis

**4. Benefits and Effectiveness Data (NCIC 2000 Format Only)**

1. Benefits and effectiveness data are collected by the NCIC 2000 System to provide users with a means of collecting data associated with solving cases. Monthly summaries of benefits and effectiveness data may be obtained by performing an RBED transaction. Additional information can be found in the Other Transactions chapter.
2. Entry of benefits and effectiveness data is not mandatory. However, users are encouraged to include it in locate, clear, and cancel transactions as it provides valuable information.
3. When the NCIC 2000 System goes into statistics mode, the user will receive a \$.S. STATISTICS MODE NOTIFICATION. While NCIC 2000 is in statistics mode, the user will be reminded to enter benefits data by receiving a \$.R., TRANSMIT BENEFITS DATA NOTIFICATION, if benefits data were not included in the locate or clear transaction.
4. If a user obtains benefits data after a record has been cleared or located, there are two transactions available to add the benefits data to the previously cleared or located records. Those are respectively an Enter Benefits Data after a Clear transaction (CRBD) and an Enter Benefits Data after a Locate transaction (LRBD). Additional details can be found in the Other Transactions chapter of this manual.
5. Property and Person: Locate and Clear Transactions

Benefits data are not collected for serialized securities and articles. When a record is cleared, canceled, or located, the RPP (property) or RPS (person) should be provided in the transaction. This gives the reason for record removal. If not included in a clear or a locate transaction when the System is in statistics mode, the agency removing the record receives a \$.R. notification and then must perform the CRBD or LRBD as defined above.

If the RPP or the RPS Field is filled out, then additional fields may be entered. The rules for benefits data entry are summarized in the following table:

FIELD NAME	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE	POSSIBLE VALUES
Reason for Property Record Removal	RPP	10-21	AN	HIT LOCAL YYYYMMDD HIT STATE YYYYMMDD HIT NCIC YYYYMMDD OTHER MEANS PREVIOUSLY RECOVERED
Reason for Person Record Removal	RPS	10-21	AN	HIT LOCAL YYYYMMDD HIT STATE YYYYMMDD HIT NCIC YYYYMMDD OTHER MEANS PREVIOUSLY LOCATED PREVIOUSLY IDENTIFIED**
Persons Armed	PAR*	1-1	N	Contains the Code 1, 2, or 3: 1 = Yes 2 = No 3 = Not Available. Can be entered only if RPS is entered.
Wanted/Missing Person Hit Results	HIT*	1-2	N	Can be one or two of the following: 1 = Subject arrested on charge in wanted person record 2 = Subject arrested on charge other than charge in hit record 3 = Detainer filed 4 = Held for extradition 5 = Held for another jurisdiction after confirmation of missing status*** 6 = Released - Wanting agency refused to extradite 7 = Released - Agency holding missing person report can provide no follow up in case of adult or where parents refuse to take custody of missing juvenile*** 8 = Released - Unable to confirm missing status*** 9 = Released - Unable to confirm wanted status Can be entered only if RPS is entered.
Number of Persons Apprehended	NPA*	1-3	N	Count of persons arrested as a result of recovering stolen article in record being located. Can be entered only if RPP or RPS is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY RECOVERED.

\*Not applicable to unidentified persons.

\*\* Unidentified person only.

\*\*\*Missing person only.

Number of Missing Persons Found	NPF*	1-20	AN	If missing persons are found as a result of solving this case, one or more of the following codes may be entered: nnn represents the number of occurrences: nnnJI: Juvenile indexed in NCIC 2000 nnnJN: Juvenile not indexed in NCIC 2000 nnnOI: Other missing person indexed in NCIC 2000 nnnON: Other missing person not indexed in NCIC 2000 Can be entered only if RPP or RPS is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY RECOVERED.
Value of Recovered Property	VNP*	1-8	N	Fair market value (in whole dollars) of the article when it was recovered. Can be entered only if RPP or RPS is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY RECOVERED.
Value of Other Recovered Property	VOR*	1-8	N	Fair market value (in whole dollars) of the property recovered in addition to the article which is the subject of the record. Can be entered only if RPP or RPS is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY RECOVERED.
PValue of Recovered Contraband	VRC*	1-8	N	Fair market value (in whole dollars) of any contraband recovered as a result of recovering the article which is the subject of the record. Can be entered only if RPP or RPS is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY RECOVERED.

\*Not applicable to unidentified persons.

\*\* Unidentified person only.

\*\*\*Missing person only.

## 6. Property and Person: Cancel Transaction

When canceling a record, the user is expected to enter a field explaining the reason the record was canceled. The RPP Field or RPS Field can have one of the following values on a cancel transaction:

1. CASE DROPPED
2. NOT STOLEN (property only)
3. NOT MISSING (missing person only)
4. WARRANT DISMISSED (wanted person only)

5. NOT WANTED (wanted person only)
6. PREVIOUSLY IDENTIFIED (unidentified person only)

No other benefits data fields are included in a cancel transaction.

**5. Related Search (RSH)**

1. The Related Search (RSH) Field has a default value of N (No). When the field contains Y (Yes), NCIC 2000 conducts a secondary search for hits based on the ORI and OCA of the hit response obtained through a primary search. Because of this feature, it is recommended that agencies use caution in the assignment of the OCA to any record entered in the NCIC 2000 System. Unique OCA Numbers should be assigned to records associated with one ORI. This would prevent an agency from receiving a meaningless number of hit responses on any inquiry.
2. Agencies which have in the past reused the same OCA on multiple records may elect NOT to set the RSH Y in an inquiry. The NCIC 2000 System assigns a default value of N to this field. This will prevent a secondary search based on the ORI and OCA of the primary hit response and the retrieval of related cases based on the LKI and LKA Fields. This does not prevent other agencies, perhaps out of state, from inquiring using RSH value of Y and consequently retrieving inappropriately linked records.
3. Typical methods of generating a unique number include appending the date, or a portion thereof, onto the case number which is expanded to 20 characters in NCIC 2000.

## **SECTION 4--USER AGREEMENT**

### **SYSTEM RESPONSIBILITIES OF CONTROL TERMINAL AGENCY**

#### **4.1 INTRODUCTION**

The NCIC 2000 operates under a shared management concept between the FBI and state and federal users. The CJIS Advisory Policy Board established a goal of having a single state agency in each state assume responsibility as the Control Terminal Agency (CTA) for the state, through and by which NCIC 2000 System users in that state would access the various systems managed by the FBI CJIS Division. The CTA is responsible for planning necessary hardware, software, funding, and training for complete access to all FBI CJIS Division data services by all authorized agencies within the state.

#### **4.2 CRIMINAL JUSTICE INFORMATION SERVICES (CJIS) USER AGREEMENT**

The responsibility of the FBI CJIS Division is to provide state-of-the-art identification and information services to the local, state, federal, and international criminal justice community. The data provided by the information services administered and maintained by the FBI CJIS Division are routed to and managed in cooperation with the state Control Terminal Agency (CTA)/Control Terminal Officer (CTO) and Federal Service Coordinator (FSC) management structure. This information includes, but is not limited to, the Interstate Identification Index (III), National Crime Information Center (NCIC), Uniform Crime Reporting (UCR)/National Incident-Based Reporting System (NIBRS), and the Integrated Automated Fingerprint Identification System (IAFIS) programs.

In order to fulfill this responsibility, the FBI CJIS Division provides the following services to its users:

- operational, technical, and investigative assistance;
- telecommunications lines to state and federal interfaces;
- legal and legislative review of matters pertaining to III, NCIC, UCR/NIBRS, IAFIS, and other related services;
- timely information on all aspects of III, NCIC, UCR/NIBRS, IAFIS, and other related programs by means of operating manuals, code manuals, technical and operational updates, various newsletters, and other relative documents;
- training assistance and up-to-date materials provided to each designated CTO/FSC;

- ongoing assistance to System users through meetings and briefings with CTOs and FSCs to discuss operational and policy issues that affect the System;
- an advisory process through which users have input as to the policy and procedures governing the operation of CJIS programs;
- audit; and,
- staff research assistance.

The responsibilities of each designated CTO/FSC are detailed in the *Bylaws for the CJIS Advisory Policy Board and CJIS Working Groups* and several NCIC-related documents. This agreement outlines the responsibilities of each CTO/FSC as they relate to III, NCIC, UCR/NIBRS, IAFIS, and other related programs.

The concept behind a designated CTO/FSC is to unify responsibility for System user discipline and ensure adherence to System procedures and policies within each state or by each federal user. These individuals are ultimately responsible for planning necessary hardware, software, funding, and training for complete access to III, NCIC, UCR/NIBRS, IAFIS, and other related data services by authorized agencies.

The following documents are incorporated by reference and made part of this agreement:

- *Interstate Identification Index Operational and Technical Manual, NCIC 2000 Operating Manual, UCR Handbook, and National Incident-Based Reporting System Volumes 1-4;*
- Minutes of the CJIS Advisory Policy Board meetings;
- *Bylaws for the CJIS Advisory Policy Board and Working Groups;*
- *Title 28, Code of Federal Regulations, Part 20;*
- *CJIS Security Policy to include all elements of the NCIC Computerized Criminal History Program Background, Concept and Policy;*
- *A Policy and Reference Manual;*
- Recommended Voluntary Standards for Improving the Quality of Criminal History Record Information, NCIC Standards, and UCR Standards, as recommended by the CJIS Advisory Policy Board;

- Other relevant documents to include *NCIC Technical and Operational Update*, *CJIS Information Letter*, etc.; and,
- Applicable federal and state laws and regulations.

To ensure continued access as set forth above, the CTA/FSC agrees to adhere to all CJIS policies, including, but not limited to, the following:

1. The signatory state will provide fingerprints for all qualifying arrests either via electronic submission or fingerprint card that meet submission criteria. In addition, states will make their records available for interstate exchange for criminal justice and other authorized purposes and, when applicable, continue to move towards participation in III and the National Fingerprint File.
2. Appropriate and reasonable quality assurance procedures, e.g., hit confirmation, record timeliness, validation, etc., must be in place to ensure that only complete, accurate, and valid information is maintained in the System.
3. Biannual file synchronization of all information entered into the III by participating states.
4. Security - Each agency is responsible for appropriate security measures as applicable to physical security of terminals and telecommunications lines; personnel security to include background screening requirements; technical security to protect against unauthorized use; data security to include III use, dissemination, and logging; and actual security of criminal history records. Additionally, each CTO/FSC must ensure that all agencies establish an information security structure that provides for an Information Security Officer (ISO).
5. Audit - Each agency shall be responsible for complying with all audit requirements. Each CTO/FSC is responsible for completing a biennial audit of all terminal agencies that access the System through the CTO's/FSC's lines.
6. Training - Each agency shall be responsible for training requirements including compliance with terminal operator training mandates.
7. Integrity of the System - In accordance with FBI CJIS Division/state policies.



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**SECTION 5--NCIC 2000 STANDARDS AND SANCTIONS****5.1 STANDARDS**

The use of “effective communications” to help the criminal justice community perform its duties not only means providing access to and obtaining detailed information from pertinent computerized databases, but also includes the amount of time required to access the databases. While an entry, inquiry, or update message may contain specific and detailed information, the message (communication) could be very ineffective if it cannot be transmitted to the data center and a response cannot be received from the data center within a reasonable amount of time. It is not uncommon to hear of a hit occurring minutes after the record was entered. Restrictions have also been placed on the amount of time that a person may be detained while an inquiry is being made to determine whether a record is on file in a database. The rapid transmission of messages is extremely important, and standards were prepared to ensure that messages are transmitted and processed within a reasonable amount of time.

To ensure the integrity of the System, certain policies and standards must be completed, adopted, and followed. Through these policies and standards, a tool of measurement is provided against which the CJIS APB can measure the performance of the component parts of the System as a whole. These policies and standards also must address the specific areas of complaint of the “special” case situations.

**5.2 STANDARDS FOR INQUIRY RESPONSE TIME - HOT FILES (NON-III) FOR SINGLE HIT/NO IMAGE RESPONSES****High-Speed Line - Computer Interface**

1. Average message response time for an inquiry from the CTA to NCIC 2000 and back to the CTA should not exceed 2 seconds.
2. Average message response time from a CTA to an agency interfaced with the CTA should not exceed 12 seconds after transmission of the inquiry, with 2 of the 12 seconds allocated to the transmission to, processing by, and return of the response from NCIC 2000 as described in standard 1 above.
3. Average message response time for an end-user terminal interfaced with a local/regional system which is interfaced with a CTA should not exceed 22 seconds after the transmission of the inquiry, with 12 of the 22 seconds allocated to the transmission to, processing by, and return of the response from the CTA and NCIC 2000 as described in standards 1 and 2 above.
4. Average response time from any local/regional system or terminal interfaced directly with the NCIC 2000 computer (i.e., NCIC 2000 lines which terminate at an agency that is not a CTA) to an end-user terminal interfaced with the local/regional system

shall not exceed 12 seconds, with 2 of the 12 seconds allocated to the transmission to, processing by, and return of the response from NCIC 2000 as described in standard 1.

5. An additional 10-second allowance can be made for additional network interfaces. These interfaces will include servers to local area or wide area networks, intranets, and wireless communication systems (commercial and private). For example, mobile units connected to a wireless communications system and then connected to a metropolitan server which is interfaced with the CTA and then connected to NCIC will be allowed a 32-second total response time from the initial inquiry.

**Note:** Average time should be based upon a compilation over a 28-day period. Abnormal operating times, such as during the installation of a new computer, should be excluded from the 1-month compilation.

### 5.3 STANDARDS FOR RESPONSE TIME - III

1. Average message response time for an inquiry from the CTA to NCIC 2000 and back to the CTA should not exceed 5 seconds.
2. Average message response time from a CTA to an agency interfaced with the CTA should not exceed 15 seconds after transmission of the inquiry, with 5 of the 15 seconds allocated to the transmission to, processing by, and return of the response from NCIC 2000 as described in standard 1 above.
3. Average message response time for an end-user terminal interfaced with a local/regional system which is interfaced with a CTA should not exceed 25 seconds after the transmission of the inquiry, with 15 of the 25 seconds allocated to the transmission to, processing by, and return of the response from the CTA and NCIC 2000 as described in standards 1 and 2 above.
4. Average response time from any local regional system or terminal interfaced directly with the NCIC 2000 computer (i.e., NCIC 2000 lines which terminate at an agency that is not a CTA) to an end-user terminal interfaced with the local/regional system shall not exceed 15 seconds, with 5 of the 15 seconds allocated to the transmission to, processing by, and return of the response from NCIC 2000 as described in standard 1 above.
5. An additional 10 second allowance can be made for additional network interfaces. These interfaces will include servers to local area or wide area networks, intranets, and wireless communication systems (commercial and private). For example, mobile units connected to a wireless communications system and then connected to a metropolitan server which is interfaced with the CTA and then connected to NCIC will be allowed a 32 second total response time from the initial inquiry.

**Note:** Average time should be based upon a compilation over a 28-day period. Abnormal operating times, such as during the installation of a new computer, should be excluded from the one-month compilation.

#### **5.4 STANDARDS FOR RECORD ENTRY BY USER AGENCY**

1. Any agency having investigative authority and jurisdiction and having an FBI CJIS-assigned ORI must enter records into NCIC 2000 which meet NCIC 2000 criteria as soon as reasonably possible after the minimum data for entry is available.
2. The CTA shall be responsible for assuring that every agency which has a terminal or access to a terminal by some interagency agreement and has an FBI CJIS-assigned ORI and investigative authority and jurisdiction may enter records into NCIC 2000.
3. Every agency that enters records destined for NCIC 2000 must assure that hit confirmation is available for all records, except III records, 24 hours a day either at that agency or through a written agreement with another agency at its location.
4. Every agency is responsible for the removal of an NCIC 2000 record as soon as it is aware that the record is no longer valid.
5. Average message response time for an entry from the CTA to NCIC 2000 and back to the CTA should not exceed 5 seconds.
6. Average message response time from a CTA to an agency interfaced with the CTA should not exceed 20 seconds after transmission of the entry, with 5 of the 20 seconds allocated to the transmission to, processing by, and return of the response from NCIC 2000 as described in standard 5 above.
7. Average message response time for an end-user terminal interfaced with a local/regional system which is interfaced with a CTA should not exceed 35 seconds after the transmission of the entry, with 20 of the 35 seconds allocated to the transmission to, processing by, and return of the response from the CTA and NCIC 2000 as described in standards 5 and 6 above.
8. Average response time from any local/regional system or terminal interfaced directly with the NCIC 2000 computer (i.e., NCIC 2000 lines which terminate at an agency that is not a CTA) to an end-user terminal interfaced with the local/regional system shall not exceed 20 seconds, with 5 of the 20 seconds allocated to the transmission to, processing by, and return of the response from NCIC 2000 as described in standard 5 above.

## **5.5 STANDARDS FOR SYSTEM AVAILABILITY**

1. The NCIC 2000 System availability goals shall be 100 percent with 99 percent as minimum acceptable performance.
2. The CTA computer availability goals shall be 100 percent with 98 percent, as minimum availability time.
3. The local/regional computer availability goals shall be 100 percent with 96 percent as minimum.

## **5.6 STANDARD REGARDING EQUIPMENT AND TECHNOLOGY COMPATIBILITY**

Equipment and/or technological incompatibility shall not be sufficient justification for any agency to operate outside of the normal CTA configuration.

## **5.7 STANDARDS FOR SERVICES AVAILABILITY**

Those services provided by NCIC 2000 to the CTAs shall be provided by the CTAs to their users with the exception of:

1. Services specifically limited to CTAs by FBI CJIS policy.
2. Services which are restricted to certain users by nature of their governmental and/or criminal justice status, federal laws, and regulations governing access to certain types of NCIC 2000 services.
3. Services which may be contrary to a state law or executive order.

“Users” include those agencies having a direct telecommunications link with a CTA and any regional dispatch center, electronic switcher, satellite computer, or other computer interface, providing a telecommunications link to user agencies, as well as those agencies who have no telecommunications link but access a CTA via another user which has a telecommunications link. Any regional dispatch/communication center shall be required by the CTA to provide the same services to their users as those provided to them by the CTA.

Services include providing users with:

1. The capability of communicating with and receiving responses from all current and future NCIC 2000 files.
2. The capability to enter an NCIC 2000 record into all current and future NCIC 2000 files which:

1. Meet the NCIC 2000 entry criteria for the file involved;
  2. Contain at least the minimum data required by NCIC 2000 for entry and up to the maximum number of identifiers permitted in the record by NCIC 2000; and
  3. Contain any of the codes or data permitted by NCIC 2000 in each of the fields.
3. Permission to enter a valid record regardless of the existence of any other record(s) already entered in NCIC 2000 by any other agency(s) for the person or property in question.
  4. The capability to add information to, delete information from, and/or change information in a field(s) of an existing NCIC 2000 record.
  5. The capability to remove a record from file when a record is determined to be invalid, e.g., the warrant which was the basis for an entry is dismissed or when the missing person or property which is the subject of the record is found.
  6. The capability to place a locate against another agency's NCIC 2000 record, including records entered by agencies serviced by the same CTA as well as records entered by agencies serviced by another CTA.

The use of the above services by any user agency shall be in accordance with the instructions and procedures contained in the *NCIC 2000 Operating Manual*, the codes contained in the *NCIC 2000 Code Manual*, and new enhancements contained in NCIC 2000 Technical and Operational Updates, *CJIS Information Letter*, or any other official notification from the FBI CJIS Division.

## **5.8 INTRODUCTION TO NCIC 2000 SANCTIONS**

1. Purging of an agency's NCIC 2000 records and discontinuance of System access for an agency are the two ultimate sanctions available to FBI CJIS management for enforcement of System policy and procedure. This presumes prosecution for law violations which would normally be handled at the state level and directed toward an individual rather than toward an agency.

References to CTAs throughout this report include other agencies with direct NCIC 2000 lines when the inclusion is logical.

2. Considerations
  1. An up-to-date FBI CJIS/CTA User Agreement should be on file with the FBI CJIS Division, Programs Support Section, and the respective CTA. It should include reference to the sanctions that could be imposed for failure to comply.

2. Specific references should include but are not limited to:

- Failure to react properly to error notices
- Failure to react properly to hit confirmation requests
- Failure to locate
- Failure to complete entries/modifications/removals promptly
- Failure to make complete entries
- Failure to validate
- Failure to assure security of equipment and data
- Failure to provide qualified operators
- Entry of invalid or nonqualified records

3. A special audit of a CTA should be part of the sanction package.
4. Flagging records of substandard CTA lines should be an option.
5. Deadlines should be imposed on compliance with corrective action notices.
6. Letter to CTAs, rather than being titled "Caution," should be drafted in the framework of a "Request to Comply" with NCIC 2000 Standards. When prolonged failure to comply would result in discontinuance of service, the letter should be explicit in announcing the "Probationary Status" of the CTA or in announcing the date probationary status will begin if compliance is not forthcoming before then.
7. Unless the serious nature of a problem requires immediate discontinuance of service, a letter to the state's governor should precede discontinuance of service.

## 5.9 SANCTIONS

1. An NLETS message transmitted by FBI CJIS to the CTA for all nonserious errors and subsequent redirection of the NLETS message by CTA to offending terminal agency. The CTA is to maintain copy of these messages for follow-up.
2. Verbal notice from CTA to terminal agency for nonserious error intercepted by CTA or intrastate message to offending terminal agencies for nonserious errors or reports thereof. (Note: A record of verbal notices should be retained by CTA for 6 months.)
3. Letter of request for compliance
  1. FBI CJIS to CTO/FSC regarding:
    1. Untimeliness

2. Inaccuracy
  3. Incompleteness
  4. Unsatisfactory record quality
  5. Unsatisfactory validation
  6. Misuse of system notice of probationary status resulting from audit (30 days to correct deficiencies)
  7. Serious error failure of a CTA to ensure compliance with hit confirmation policy
2. CTA to terminal agency
    1. Untimeliness
    2. Inaccuracy
    3. Incompleteness
    4. Unsatisfactory record quality
    5. Unsatisfactory validation
    6. Misuse of System
    7. Notice of probationary status resulting from audit (30 days to correct deficiencies)
    8. Serious error
    9. Failure of the terminal agency to comply with hit confirmation policy
4. Letter of intent to remove from System if deficiency not corrected
    1. CJIS APB to CTA head
      1. Continuous serious error trend
      2. Audit failure status (not corrected within 30 days of first letter of request)
      3. Intentional misuse of Purpose Codes in III
      4. Continuous failure of CTA to ensure compliance with hit confirmation policy
    2. CTA to terminal agency
      1. Continuous serious error trend
      2. Audit failure status (not corrected within 30 days of first letter of request)
      3. Misuse of III
      4. Continuous failure of the terminal agency to comply with hit confirmation policy
5. Advisory letter to state governor
    1. FBI CJIS to governor with copy to CTA

1. Serious error trend
  2. Audit failure (30 days to correct)
  3. Probationary status has been modified to failure status (additional 30 days to correct)
  4. Unsatisfactory record quality trend
  5. Report unsatisfactory validation or failure to correct validation
2. CTA to terminal agency - removal of records and discontinuance of service is imminent
    1. Serious error trend
    2. Audit failure (30 days to correct)
    3. Probation status to failure status
    4. Unsatisfactory record quality trend
    5. Report unsatisfactory validation or failure to correct validation
6. Removal from System includes purge of all records and discontinuance of service pending reinstatement.
    1. CJIS APB and FBI CJIS jointly initiate removal of CTA from active System use.
    2. CTA may discontinue service to an offending agency and purge that agency's records from state and NCIC 2000 files.
7. Reinstatement
    1. Upon satisfactory proof that the offending CTA has corrected its deficiencies, the APB may reinstate.
    2. Upon satisfactory proof that the offending agency under review has corrected its deficiencies, the CTA may reinstate. The CTA also has the option to defer to another agency which will then become the new CTA.

## SECTION 6--CONTROL AGENCIES

## 6.1 STATE CONTROL AGENCIES

State	ORI	State	ORI
Alabama	AL003065Y	Nevada	NV0139923
Alaska	AKAST0102	New Hampshire	NHNSP0010
Arizona	AZACSPX00	New Jersey	NJNSP01T6
Arkansas	AR060015Y	New Mexico	NMNSP0000
California	CA0349400	New York	NY1010000
Colorado	COCBI0000	North Carolina	NCDCI0000
Connecticut	CTCSP0000	North Dakota	NDRCD0000
Delaware	DEDSP0000	Ohio	OHOHP0030
District of Columbia	DCMPD0000	Oklahoma	OKOLETS00
Florida	FL03701F3	Oregon	OR024015Y
Georgia	GAGBI0051	Pennsylvania	PAPSP0077
Hawaii	HI0020000	Puerto Rico	PRPPR0000
Idaho	ID001015Y	Rhode Island	RIRSP0052
Illinois	IL0849600	South Carolina	SCLED00A2
Indiana	INISP0007	South Dakota	SD032105Y
Iowa	IADPS0000	Tennessee	TNTBI0022
Kansas	KSKHPQ000	Texas	TX0000000
Kentucky	KYKSP0000	U.S. Virgin Islands	VI0010000
Louisiana	LALSP0000	Utah	UTBCI0000
Maine	MEMSP0000	Vermont	VTVSP0000
Maryland	MDMSP0006	Virginia	VAVSP0000
Massachusetts	MAMSP0030	Washington	WAWSP0000
Michigan	MI3300203	West Virginia	WVWSP0000
Minnesota	MNBCA0000	Wisconsin	WI0132454Y
Mississippi	MSMHP0000	Wyoming	WY0110400
Missouri	MOMHP0040		
Montana	MT025015Y	Royal Canadian	
Nebraska	NBNSPOD00	Mounted Police	IC9000200

## 6.2 FEDERAL SERVICE COORDINATORS

<b>Agency</b>	<b>ORI</b>
Bureau of Alcohol, Tobacco and Firearms	DCAFT0000
U.S. Department of Commerce	
National Oceanic and Atmospheric Administration	MDDC00000
Drug Enforcement Administration	DCDEA0000
Department of Defense	VADOD0800
U.S. Department of Justice	DCDOJ0000
U. S. Department of Labor	DCDOL0200
U.S. Department of State	DCDOS0000
U.S. Immigration and Naturalization Service	USINS0000
Naval Criminal Investigative Service	USNIS0000
Air Force Office of Special Investigations	DCOSI0000
U. S. Postal Inspection Service	DCPO00000
U.S. Customs Data Center	VAUSC6001
U.S. Marshals Service	VAUSM0000
U.S. Secret Service	DCSS17700

A listing of the Control Terminal Officers and Federal Service Coordinators, their addresses, and telephone and facsimile numbers is available on the CJIS home page via the Law Enforcement OnLine (LEO) Intranet.

LEO - Law Enforcement OnLine is a national interactive computer communications capability and information service, an Intranet exclusively for the law enforcement community. LEO can be accessed by any approved employee of a duly constituted local, state or federal law enforcement agency, or approved member of an authorized Law Enforcement Special Interest Group. LEO is currently provided through a national toll-free dial-up to encrypted secure network backbone. Additional information containing LEO and/or access to LEO can be obtained from the FBI CJIS.

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**6.3 FBI TELEPHONE AND ORI LIST**

<b>Office</b>	<b>Telephone</b>	<b>ORI</b>
Administrative Offices	304-625-2739	DCFBIWA10
NCIC 2000 AUDIT	304-625-3020	DCFBIWA03
NCIC 2000 OPERATIONS		
Editorial Matters	304-625-4995	DCFBIWA10
Interstate Identification	304-625-3652	DCFBIWA10
Index Staff		
Legal Review and Privacy Matters	304-625-5395	DCFBIWA36
Off-line Search	304-625-3000	DCFBIWAQ9
ORI Matters	304-625-3628	DCFBIWA36
Quality Control	304-625-3020	DCFBIWA03
Research and Development	304-625-2739	DCFBIWA10
Systems Security	304-625-2763	
Telecommunications and Network Planning	304-625-3141	DCFBIWA36 WAOO
Training	304-625-2821	DCFBIWAN1