U.S. Department of Justice
Federal Bureau of Investigation
Criminal Justice Information Services (CJIS) Division

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TECHNICAL AND OPERATIONAL UPDATE (TOU) 20-4

SECTION 1 -- MESSAGE TO CJIS SYSTEMS OFFICERS (CSO)

Section 2 provides information on implementation of single cycle sealing and the SRC MKE in the III System.

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TOUs are also available via the Law Enforcement Enterprise Portal (LEEP). To access the TOUs on the LEEP, go to JusticeConnect, then, under Communities, join the NCIC Community. Users with questions concerning access to LEEP should contact the LEEP Help Desk at 888-334-4536.

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SECTION 2 – SYSTEM CHANGES

IMPLEMENTATION OF SINGLE CYCLE SEALING AND THE SRC MKE IN THE NEXT GENERATION IDENTIFICATION (NGI) SYSTEM

AFFECTED BY CHANGE: **III**

EFFECTIVE DATE: **April 2020**

Background

In 1993, the FBI's CJIS Division implemented the National Fingerprint File (NFF) Sealing Program, enabling NFF states with statutory authority to seal an entire criminal history record for a specific purpose. In September 2008, the FBI's CJIS Division expanded the NFF Sealing Program to include III participating states. Then, in August 2019, the III and NFF Sealing Program, now known as sealing functionality, was expanded to include authorized federal contributors and incorporated the CJIS Advisory Policy Board (APB) recommendation for single cycle sealing. Correspondences dated 12/14/2018 and 03/28/2019 addressed incremental functionality changes.

System Change

The development of the III Seal Record Cycle (SRC) Message Key (MKE) provides an electronic means for III and NFF states, as well as authorized federal contributors, to seal and unseal criminal history record information (CHRI) at the arrest level. Previously, sealing states were limited to sealing and unsealing an entire criminal history record via the III by using the Entering Supplemental Identifiers (EHN) MKE, and only criminal history records containing a State Identification (SID) Number indexed in the NGI System. Authorized federal contributors, including CSOs, U.S. Attorney's Offices (USAO), and U.S. Courts had relied on the FBI'S CJIS Division's document processing to seal and unseal arrest cycles because III MKE was unavailable to them.

Implementing the single cycle sealing functionality will require programming changes for federal agencies, states, the USAO, and the U.S. Courts. Participants must contact the FBI's CJIS Division to express their intent to seal. New sealing states must provide sealing preferences. States and authorized federal contributors must coordinate programming changes for the SRC with the FBI. Once programmed, states and authorized federal contributors will use the SRC to submit single cycle sealing requests to seal and unseal CHRI.

Manual Change(s)

Previous language included in the *III/NFF Operational and Technical Manual* (March 2017) will be amended to reflect the change from the Sealing Program to the expanded functionality. Additions to the *III/NFF Operational and Technical Manual* (March 2017) are indicated by

==highlighting==, and deletions are indicated by ~~strikeout~~.

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SECTION 5.4— SEAL RECORD CYCLE (SRC SINGLE CYCLE SEALING MESSAGE)

5.4.1 INTRODUCTION

In 1993, the FBI's CJIS Division implemented the National Fingerprint File (NFF) Sealing Program, enabling NFF states with statutory authority to seal an entire criminal history record for a specific purpose. In September 2008, the FBI's CJIS Division expanded the NFF Sealing Program to include III participating states. Then, in August 2019, the III and NFF Sealing Program, now known as sealing functionality, was expanded to include authorized federal contributors and incorporated the CJIS Advisory Policy Board (APB) recommendation for single cycle sealing. Correspondences dated 12/14/2018 and 03/28/2019 addressed incremental functionality changes.

The development of the III SRC MKE provides an electronic means for III and NFF states, as well as authorized federal contributors, to seal and unseal CHRI at the arrest level. Previously, sealing states were limited to sealing and unsealing an entire criminal history record via the III by using the EHN MKE, and only criminal history records containing a SID Number indexed in the NGI System. Authorized federal contributors, including CSOs, USAO, and U.S. Courts had relied on the document processing of the FBI's CJIS Division to seal and unseal arrest cycles because III MKE was unavailable to them.

Implementing the single cycle sealing functionality will require programming changes for federal agencies, states, the USAO, and the U.S. Courts. Participants must contact the FBI's CJIS Division to express their intent to seal. New sealing states must provide sealing preferences. States and authorized federal contributors must coordinate programming changes for the SRC with the FBI. Once programmed, states and authorized federal contributors will use the SRC to submit single cycle sealing requests to seal and unseal CHRI.

5.4.2   EXAMPLE SRC SINGLE CYCLE SEALING MESSAGE AND ACCEPT MESSAGES

The following sections provide information of single cycle sealing messages and accept messages for state-maintained arrests, pseudo-pointer arrests, and federal arrests.

5.4.2.1 EXAMPLE SRC SINGLE CYCLE SEALING MESSAGE AND ACCEPT MESSAGE FOR A STATE-MAINTAINED ARREST

Agencies should use the message format shown below to seal an individual state-maintained arrest in the III. The information following the example explains the data contained in the message. The SIB should use this message when part of the state-maintained record is sealed for a specific purpose. Information on sealing the entire record for an individual is contained in Section 7 of the manual. Message Field Codes (MFCs) shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used, the III will transmit a reject message. Only the header, MKE, originating agency identifier (ORI), FBI Universal Control Number (UCN), event indicator (EVI), date of arrest (DOA), SID Number, contributing agency identifier (CRI), and seal flag value MFC need to be used in these messages. Agencies may use the FBI UCN, SID Number, or both the FBI UCN and SID Number, and the EVI, DOA, or both the EVI and the DOA.

Message:

```
2L01HEADERXXXX01234.SRC.TX0000000.FBI/9015000.EVI/40129601239.DOA/19831
020.SID/TX02949402.CRI/TX2270100.SEL/Y
```

Explanation:

Message Segment	Field	MFC
2L01HEADERXXXX01234.	Header	--
SRC.	Message Key	--
TX0000000.	Originating Agency Identifier	--
9015000.	FBI UCN	FBI/

40129601239.	Event Indicator	EVI/
19831020.	Date of Arrest	DOA/
TX02949402.	SID Number for the Individual (states only)	--
TX2270100.	Contributing Agency Identifier	CRI/
Y or N	Seal Flag Value	SEL/

Message Format:

2L01HEADERXXXX01234(9-19 characters). SRC(3 characters). ORI(9 characters). FBI(1-9 characters). EVI/(4-24 characters). DOA/(8 characters). SID(3-10 characters). CRI/(9 characters). SEL/Y.

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

```
KL01HEADERXXXX01234
TX0000000
ACCEPT SRC FOR FBI/9015000 DOA/19831020
ATTENTION:   YOUR REQUEST HAS BEEN SUCCESSFULLY PROCESSED
END
```

5.4.2.2 EXAMPLE SRC SINGLE CYCLE SEALING MESSAGE AND ACCEPT MESSAGE FOR AN FBI PSEUDO-POINTER ARREST

Agencies should use the message format shown below to seal an individual arrest in the III when the FBI maintains the state CHRI as an FBI pseudo-pointer. The information following the example explains the data contained in the message. The SIB should use this message when part of the FBI pseudo-pointer record is sealed for a specific purpose. Information on sealing the entire record for an individual is contained in Section 7 of the manual. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used, the III will transmit a reject message. Only the header, MKE, ORI, FBI UCN, EVI, DOA, SID Number, CRI, and seal flag value MFC need to be used in these messages. Agencies may use the FBI UCN, SID Number, or both the FBI UCN and SID Number, and the EVI, DOA, or both the EVI and the DOA. The SRC message for pseudo-pointers may omit the SID Number.

Message:

```
2L01HEADERXXXX01234.SRC.TX0000000.FBI/9015000.EVI/40129601239.DOA/19831
020.CRI/TX2270100.SEL/Y
```

Explanation:

Message Segment	Field	MFC
2L01HEADERXXXX01234.	Header	--
SRC.	Message Key	--
TX0000000.	Originating Agency Identifier	--
9015000.	FBI UCN	FBI/
40129601239.	Event Indicator	EVI/
19831020.	Date of Arrest	DOA/
TX2270100.	Contributing Agency Identifier	CRI/
Y or N	Seal Flag Value	SEL/

Message Format:

2L01HEADERXXXX01234(9-19 characters). SRC(3 characters). ORI(9 characters). FBI(1-9 characters). EVI/(4-24 characters). DOA/(8 characters). SID/(3-10 characters). CRI/(9 characters). SEL/Y.

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

```
KL01HEADERXXXX01234
TX0000000
ACCEPT SRC FOR FBI/9015000 DOA/1983-10-20
ATTENTION:  YOUR REQUEST HAS BEEN SUCCESSFULLY PROCESSED
END
```

5.4.2.3 EXAMPLE SRC SINGLE CYCLE SEALING MESSAGE AND ACCEPT MESSAGE FOR FEDERAL ARRESTS

Federal agencies should use the message format shown below to seal an individual federal arrest in the III. Federal records will be available for Purpose Codes C, J, S, F, and R, in accordance with federal legislation. Should federal legislation change, an additional TOU will be forthcoming advising the implementation impact to sealing functionality, if any. The information following the example explains the data contained in the message. The federal agency should use this message when the part of the federal record contributed by the agency is sealed for a specific purpose. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used, the III will transmit a reject message. Only the header, MKE, ORI, FBI UCN, EVI, DOA, CRI, and seal flag value MFC need to be used in these messages. Agencies may use the EVI, DOA, or both the EVI and the DOA.

Message:

```
2L01HEADERXXXX01234.SRC.MDP000400.FBI/9051000.EVI/40125218040.DOA/19961
114.CRI/MDP000400.SEL/Y
```

Explanation:

Message Segment	Field	MFC
2L01HEADERXXXX01234.	Header	--
SRC.	Message Key	--
MDP000400.	Originating Agency Identifier	--
9051000.	FBI UCN	FBI/
40125218040.	Event Indicator	EVI/
19961114	Date of Arrest	DOA/
MDP000400.	Contributing Agency Identifier	CRI/
Y or N	Seal Flag Value	SEL/

Message Format:

2L01HEADERXXXX01234(9-19 characters). SRC(3 characters). ORI(9 characters). FBI/(1-9 characters). EVI/(4-24 characters). DOA/(8 characters). CRI/(9 characters). SEL/Y.

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

```
KL01HEADERXXXX01234
MDP000400
ACCEPT SRC FOR FBI/9051000 DOA/1996-11-14
ATTENTION:  YOUR REQUEST HAS BEEN SUCCESSFULLY PROCESSED
END
```

SECTION 5.4 5.5—DELETING STATE RECORDS INDEXED IN THE III (DRS DELETION MESSAGE)

5.4.1 5.5.1 DRS DELETION MESSAGE—INTRODUCTION

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

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

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

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

If the FBI's CJIS Division expunges a state's record based on the receipt and processing of expungement documentation from the state (i.e., the state did not transmit a DRS deletion message), the FBI's CJIS Division will remove the SID Number, and the III will advise the state of this action automatically by the transmission of either a $.A.EXP (FBI Number Expunged) or $.A.EXS (SID Number Expunged) unsolicited message. Section 5.5.5 of this chapter provides the format for the $.A.EXP and $.A.EXS unsolicited messages.

5.4.2 5.5.2 EXAMPLE DRS DELETION MESSAGE AND ACCEPT MESSAGE

Agencies should use the message format shown below to remove a SID Number from the III. The information following the example explains the data contained in the message. The SIB should use this message when the state record ceases to exist for any reason (other than the death of a person). Information on deleting records of deceased individuals is contained in Section 5.6 of the manual. MFCs shown as two hyphens (--) indicate mandatory positional fields not permitting the use of an MFC. If an MFC is used, the III will transmit a reject message. Only the XPL (Explanation) MFC needs to be used in these messages. The XPL is a free-text, literal field with a 75-character maximum to explain the reason for removal of the SID Number. Examples of correct information to be placed in the XPL Field include "court ordered expungement," "juvenile record information." Because information in the XPL Field becomes part of an individual's official record, agencies should never include the data entry person's name or his or her job title in the field due to privacy concerns.

Message:

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

Explanation:

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

Message Format:

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

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

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

~~5.4.3~~ 5.5.3 DRS DELETION MESSAGE PROCESSING

The III processes DRS deletion messages as follows:

1. If the record is single-source, the DRS message will cause:

    A. The SID Number to be flagged as expunged.

    B. The transmission of a $.A.EXP (FBI UCN Expunged) message to the state will follow the accept message as a result of the DRS.

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

2. If the record is multi-source, the DRS deletion message will cause:

    A. The SID Number to be flagged as expunged.

    B. The transmission of an unsolicited $.A.EXS (SID Expunged) message to the state.

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

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

~~5.4.4~~ 5.5.4 CORRECTING DRS DELETION MESSAGE SENT IN ERROR

When a state erroneously transmits a DRS deletion message to expunge its SID Number in the III, the state should use an Modify Record SID (MRS) modification message to reactivate its SID Number (e.g., remove the expungement flag from the SID Number. The MRS modification message must contain the individual's date of birth (DOB) as the record identifier preceding the

FBI UCN (Section 5.1 of this chapter furnishes the format for the MRS modification message.) After the III receives the MRS modification message, the III conducts an automated review of the record to ensure that at least one criminal arrest fingerprint submission is on file for the state before removing the expungement flag from the SID Number and transmitting the accept message with the appropriate $.A.SSO or $.A.MSO message. If the review reveals that there are no data in the record for the state, the MRS modification message will be rejected as NOT AUTHORIZED.

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

Example:

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

5.4.5 5.5.5 $.A.EXP AND $.A.EXS UNSOLICITED MESSAGES—WHEN A RECORD IS REMOVED BECAUSE OF AN EXPUNGEMENT OR A PURGE

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

5.4.5.1 5.5.5.1 $.A.EXP UNSOLICITED MESSAGE

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

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

Message Format:

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

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

Example:

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

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

Example:

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

~~5.4.5.2~~ <mark>5.5.5.2</mark> $.A.EXS UNSOLICITED MESSAGE

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

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

Message Format:

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

Example:

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

~~5.4.6~~ <mark>5.5.6</mark> EXPLANATORY PHRASES (XPLs) APPENDED TO $.A.EXP MESSAGES

~~5.4.6.1~~ <mark>5.5.6.1</mark> INTRODUCTION

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

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

completed. Specific literal XPLs explain the reason that the FBI UCN was permanently deleted from the III.

~~5.4.6.2~~ 5.5.6.2 FILE MAINTENANCE XPLs

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

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

XPL/DELETE TYPE 1

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

XPL/DELETE TYPE 13

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

~~5.4.6.3~~ 5.5.6.3 SPECIFIC LITERAL XPLs

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

A. XPL/DELETED-JUVENILE

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

B. XPL/DELETED-MINOR ARREST

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

C. XPL/DELETED-UTL AFTER LENGTHY SEARCH

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

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

E. XPL/PRINT RETD CNTRB-MISSING DOB

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

F. XPL/PRINT RETD CNTRB PER REQUEST

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

G. XPL/RETURN PRT PROC AS RETAIN PRT

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

H. XPL/110 - PLUS PURGE

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

SECTION 5.5 5.6—REMOVING STATE RECORDS INDEXED IN THE III FOR DECEASED INDIVIDUALS (DEC MESSAGE AND $.A.DEC UNSOLICITED MESSAGE)

5.5.1 5.6.1 INTRODUCTION

The DEC (Decease Records Indexed in the III) MKE was instituted to assist the states in flagging records in the III pertaining to deceased individuals. There are two types of DEC

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

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

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

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

~~5.5.2~~ 5.6.2 DEC MESSAGE APPENDED WITH AN XPL FIELD

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

Example:

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

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

SECTION 5.6 5.7—CONSOLIDATING STATE RECORDS INDEXED IN THE III ($.A.CON AND $.A.NMS UNSOLICITED MESSAGES)

5.6.1 5.7.1 INTRODUCTION

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

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

5.6.2 5.7.2 $.A.CON UNSOLICITED MESSAGE—FBI UCN CONSOLIDATION

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

5.6.2.1 5.7.2.1 $.A.CON UNSOLICITED MESSAGE FORMAT

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

Message Format:

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

Example:

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

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

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

A.   SID NUMBER EXPUNGED—REENTER TO ASSUME CONTROL

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

B.   MODIFY FBI UCN IN A STATE'S FILE

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

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

5.6.2.2 5.7.2.2 $.A.CON UNSOLICITED MESSAGE—BOTH RECORDS CONTAIN THE STATE'S SID NUMBER

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

Example:

Canceled Record: `FBI/9000012 SID/TX00000123`

Retained Record: `FBI/9000001 SID/TX00000456`

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

A.   The III record (including the SID Number) for a canceled FBI UCN (in this case, FBI/9000012) will be purged from the III.

B.   The SID Number in the III for a retained record (in this case, FBI/9000001) will also be purged from the III and replaced by an FBI pseudo-pointer for the state's data. This action is necessary because the FBI's CJIS Division has the most complete record until the state consolidates the records in its file and can provide a complete record.

C.   A $.A.CON unsolicited message transmitted by the III to the state will contain a caveat advising that both SID Numbers have been removed from the III and that the state must reenter its SID Number to regain control of its data. The state can accomplish this by using an MRS modification message. More information on this topic is provided in Section 5.1 of this chapter.

Example:

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

~~5.6.2.3~~ 5.7.2.3 $.A.CON UNSOLICITED MESSAGE—CANCELED RECORD CONTAINS AN FBI PSEUDO-POINTER FOR THE STATE'S DATA/RETAINED RECORD CONTAINS THE STATE'S SID NUMBER

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

Example:

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

Retained Record: `FBI/9000001 SID/TX00000456`

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

A.   The CJIS Division staff will purge the canceled FBI UCN (in this case, FBI/9000012) from the III, consolidate the record, and reenter record into the III.

B.   The CJIS Division staff will purge the SID Number in the III for a retained record (in this case, FBI/9000001) and will replace the SID Number with an FBI pseudo-pointer for the state's data. This action is necessary because the FBI's CJIS Division has the most complete record until the state consolidates the records in its file and can provide a complete record.

C.   A $.A.CON unsolicited message transmitted by the III to the state will contain a caveat advising that the SID Number has been removed from the III and that the state must reenter its SID Number to regain control of its data using a MRS modification message. More information on this topic is furnished in Section 5.1 of this chapter.

Example:

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

~~5.6.2.4~~ 5.7.2.4 $.A.CON UNSOLICITED MESSAGE—CANCELED RECORD CONTAINS THE STATE'S SID/RETAINED RECORD CONTAINS AN FBI PSEUDO-POINTER FOR THE STATE'S DATA

In contrast to the circumstance presented in Subsection 5.7.2.3 of this chapter, the following example shows a canceled III record that contains the state's SID Number and a III retained record that contains an FBI pseudo-pointer for the state's data.

Example:

Canceled Record: `FBI/9000012 SID/TX00000123`

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

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

A.   The CJIS Division staff will purge the canceled FBI UCN (in this case, FBI/9000012), consolidate the record, and reenter the record into the III.

B.   The FBI pseudo-pointer for the state's data will remain in the III for a retained record (in this case, FBI/9000001).

C.   A $.A.CON unsolicited message transmitted by the III to the state will not contain a caveat. The position of a SID Number (in this case, TX00000123) in the $.A.CON unsolicited message should alert the state that its only SID Number has been purged from the III.

Example:

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

~~5.6.2.5~~ <mark>5.7.2.5</mark> $.A.CON UNSOLICITED MESSAGE—CANCELED RECORD CONTAINS STATE'S SID NUMBER/RETAINED RECORD CONTAINS NO ARREST DATA FOR THE STATE

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

Example:

Canceled Record: `FBI/9000012 SID/TX00000123`

Retained Record: `FBI/9000001 SID/(None)`

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

A.   The CJIS Division staff will purge the canceled FBI UCN (in this case, FBI/9000012) from the III and consolidate the record.

B.   The SID Number in the canceled record will be used as the active state III pointer in the retained record (in this case, FBI/9000001).

C.   A $.A.CON unsolicited message transmitted by the III to the state will contain a caveat advising the state to modify its FBI UCN. A consolidation of state records is not necessary because the state has only one record for the individual.

Example:

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

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

~~5.6.3~~ <mark>5.7.3</mark> $.A.NMS UNSOLICITED MESSAGE-SID NUMBER CONSOLIDATION

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

In addition, when a III state submits a subsequent set of fingerprints without a SID Number that is identified with a record containing the state's SID Number, the III will send a $.A.NMS unsolicited message indicating that a nonmatching SID situation exists. The existing SID Number will remain indexed in the III for the state. However, the III will not include a SID Number for the specific arrest cycle maintained at the FBI's CJIS Division. $.A.NMS unsolicited messages are intended to alert SIBs of possible procedural problems at the state level.

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

~~5.6.3.1~~ <mark>5.7.3.1</mark> $.A.NMS UNSOLICITED MESSAGE FORMAT

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

Message Format:

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

Example:

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

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

A.   The first SID Number following the MKE $.A.NMS is the SID Number received by the FBI's CJIS Division from the state on the incoming fingerprint submission.

B.   The FBI UCN will be the one already existing in the III for the record subject.

C.   The ORI Field through the DOA Field will be the information contained on the incoming fingerprint submission.

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

~~5.6.3.2~~ 5.7.3.2 $.A.NMS UNSOLICITED MESSAGE WHEN THE SID NUMBER IS IGNORED BECAUSE OF ITS ASSOCIATION WITH ANOTHER FBI UCN

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

Message Format:

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

Example:

```
$.A.NMS.SID/TX00000456.FBI/9000002.ORI/TXDPD0000.OAN/POLICE
DEPARTMENT.OAC/DALLAS.OCA/DPD12345678912121212.NAM/JACKSON,CAMERON
DOUGLAS.SEX/M.RAC/W.DOB/19601201.FPC/0101AAAAPOPIPMDIDO14. DOA/
19991201.SID/TX00000789.NONMATCHING SID IGNORED - AND IS ADDITIONALLY
ASSOCIATED WITH FBI UCN/9000013
```

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

A.   The first SID Number (TX00000456) is the SID Number from the incoming fingerprint submission being processed by the FBI's CJIS Division. The III will ignore the first SID Number because it does not match the SID Number already indexed as the active III pointer for the individual (TX00000789).

B.   The first FBI UCN (9000002) is the one already existing for the individual.

C.   The ORI Field through the DOA Field contains the information from the incoming fingerprint submission.

D.   The SID Number (TX00000789) following the DOA Field is the SID Number already existing in the III for the individual.

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

~~5.6.3.3~~ 5.7.3.3 $.A.NMS UNSOLICITED MESSAGE WHEN A SUBSEQUENT FINGERPRINT SUBMISSION DOES NOT CONTAIN THE STATE'S SID NUMBER

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

Message Format:

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

Example:

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

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

A.   The first SID Field contains the ten blank characters, which represent the absence of the SID Number from the incoming fingerprint submission.

B.   The FBI UCN (9000015) is the one already existing in the III for the individual.

C.   The ORI Field through the DOA Field contains the information from the incoming fingerprint submission.

D.   The SID Number (TX02949402) following the DOA Field is the SID Number already existing in the III for the individual.

SECTION ~~5.7~~ 5.8 UPDATING STATE RECORDS WITH DISPOSITION DATA (DSP UPDATE MESSAGE)

~~5.7.1~~ 5.8.1 INTRODUCTION

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

~~5.7.2~~ 5.8.2 EXAMPLES OF DSP UPDATE MESSAGES

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

Messages:

DSP With Single Disposition:

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

DSP With Multiple Dispositions:

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

Explanation: Message Segment	Field	MFC
2L01HEADERXXXX01234.	Header	--

DSP.	Message Key	--
SC004445Y.	Designated State Agency Identifier	--
9015174.*	FBI UCN	FBI
SC81331911.*	SID Number	SID
SC1012600.	Controlling Agency Identifier	CRI
DMI/R.	Disposition Maintenance Indicator	DMI
DOA/20070131.	Date of Arrest	DOA
IFS/X.	IFFS Status Flag	IFS
CCT/01.	Court Count	CCT
CON/7399.	Court Offense Numeric	CON
COL/Assault.	Court Offense Literal	COL
CPL/Guilty 15 Years	Court Provision Literal	CPL

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

Message Format:

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

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

- **A**—used to add disposition data to a DOA.

- **D**—used to append disposition data to existing disposition data for a DOA. Only the CPL is updated.

• **R**—used to replace existing disposition data for a DOA.

• **X**—used to delete existing disposition data for a DOA. CJIS Division staff will review all DMI X requests before deletion.

The III will display the IFS value within the court segment of the subject's criminal history record. III will enter the default value of X when the SIB does not populate the IFS Field. Additional information regarding the IFS Field is available in Chapter 7, Section 7.1.2, of this manual. The IFS codes are:

• **D**—used when the subject's record contains one or more firearms disqualifier(s).

• **X**—used when the status of the record is unknown. This is the default flag, this status is also used in cases when a criminal history record has not been reviewed to determine if the other IFFS status flag applies.

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

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

~~5.7.3~~ 5.8.3 EXAMPLES OF DSP ACCEPT MESSAGES

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

When DSP Includes only the FBI UCN as the Record Identifier

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

When DSP Includes Only the SID Number as the Record Identifier

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

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

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

When DSP Requires Special Processing

```
KL01HEADERXXXX01234
SC004445Y
ACCEPT DSP FOR FNU/9015174 or SID/SC81331911
ALL MFCs SUPPLIED IN THE III DSP REQUEST MAY NOT NECESSITATE
UPDATES TO THE III SUBJECT CRIMINAL HISTORY RECORD.
YOUR TRANSACTION COULD NOT BE AUTOMATICALLY UPDATED --
ROUTED FOR SPECIAL PROCESSING.
```

CHAPTER 7

Table of Contents

SECTION 7.5 – ~~III~~ SEALING ~~PROGRAM~~ FUNCTIONALITY

7.5.1   INTRODUCTION

The III ~~S~~sealing ~~Program~~ functionality is available to any federal CSO, USAO, U.S. Court, and ~~III~~ state with statutory authority or requirement to seal ~~an entire state-maintained record~~ arrests at the national level. A federal or state contributor may be required to seal a record because of a court order or state law. Dissemination of ~~information in~~ sealed records is limited to ~~a~~ specific purpose code(s), as established by ~~the~~ federal and state law. Federal contributors must use the SRC to seal arrests in the NGI System as the EHN is not available to federal agencies. Federal agencies must coordinate programming changes with the FBI's CJIS Division prior to using the SRC to seal criminal history records. If a state agency wants to seal part of a record (and not the entire record itself), agency staff should ~~contact the CJIS Division's staff by e-mail at identity@ic.fbi.gov.~~ use the SRC. States may use the SRC to seal arrests for state supported and FBI supported records in the NGI System. States may use the EHN to seal an entire state-maintained record.

~~An III sealing program participant enters an EHN maintenance message to seal state-maintained III records.~~

Prior to sending an EHN message to seal criminal history records for a particular purpose, the III state must work with the FBI's CJIS Division to coordinate ~~participation in~~ use of the III sealing ~~program~~ functionality and to schedule III software changes to allow the state to electronically seal records. To do this, the III state bureau chief should either mail a letter to the FBI's CJIS Division staff or contact the staff by e-mail at fbi-iii@leo.gov. The state must establish its III sealing rules by advising the FBI's CJIS Division to provide sealed records for specific purpose code(s). These sealing preferences determine whether record requests are sent to the states and when the FBI's CJIS Division provides FBI-supported records.

~~In 1993, the FBI changed the III to give NFF states the ability to seal state-maintained records in the III. This allowed NFF states to seal records at the national level and limit dissemination under specific purpose codes as established by the NFF states.~~
~~In July 2008, the FBI expanded the III Sealing Program to any III state with statutory authorization or requirement to seal an entire state-maintained III record at the national level, Thus limiting the record's dissemination under a specific purpose code(s), as established by the III state.~~

7.5.2   SYSTEM DESIGN

The III ~~S~~sealing ~~Program system design sets~~ functionality uses flags in the III when a portion or all of a federal or state~~'s entire~~ criminal history record is not available for dissemination for a specific purpose code(s). This design incorporates two flags into the system~~s~~. The FBI ~~and the III Sealing Program participants~~, federal CSO, USAO, U.S. Courts and states use the flags to maintain the status of the records; however, the flags are not visible to the ~~requesting states~~ record requestors. The seal flags are:

- Y- Indicates the ~~state's~~ criminal history record is sealed
- N- Indicates the ~~state's~~ criminal history record is unsealed.

The ~~III S~~sealing ~~Program participant~~ contributor sends a seal value of Y whenever ~~a state has~~ a criminal history record ~~that~~ is unavailable for dissemination for a specific purpose code(s). The ~~III S~~sealing ~~Program participant~~ contributor sets a seal value of N whenever ~~a state maintains~~ a criminal history record ~~that~~ may be disseminated for all purpose codes. The Seal Flag (SEL) will be followed by a Y or an N. For legacy sealed records, the SEL value was translated into segment codes for each arrest which are not visible to the record requestors.

7.5.3   RECORD RESPONSE PROCESSING

Responses Resulting from Fingerprint Submissions

When a current fingerprint submission matches a state-maintained record, the FBI responds with the state record as part of the IdHS if it is for an authorized purpose code supported by the state. When a fingerprint submission is identified with a state record ~~that contains a seal flag of Y~~ where part or all of the record is sealed, the FBI's CJIS Division will ~~not~~ respond ~~for the exempted sealing purpose~~ in accordance with the state's sealing preferences. If a fingerprint submission idents to a single-source record, and the entire record is sealed for the inquiry's purpose code, the FBI's CJIS Division will send the fingerprint contributor a NO RECORD (nonident) response. For multi-source records, the FBI's CJIS Division will respond with the ~~FBI~~ IdHS containing all unsealed records as well as any unsealed state records.

The FBI's CJIS Division uses states' criminal history records which have a state-pointer instead of FBI IdHS to process fingerprint submissions, if authorized for the specific purpose code. The FBI's CJIS Division uses the states' records only for the purposes for which the FBI is authorized to disseminate the records according to the states' sealing ~~categories~~ preferences. Therefore, when a fingerprint submission is identified with a state record ~~that contains a seal flag of Y~~and all the state's data is sealed, the FBI's CJIS Division will not send a $.A.CHR (Criminal History Request Notification) criminal history record request message to the state ~~for the exempted sealing purpose~~ in accordance with the state's sealing preferences. For single-source records, the FBI's CJIS Division will send the fingerprint contributor a NO RECORD (nonidentification) response. For multi-source records, the FBI's CJIS Division will send a $.A.CHR message to all holders of the record other than the sealing state, and the contributor will receive responses from those sources and the FBI IdHS. The FBI's CJIS Division will not send a $.A.CHR message to the sealing state that will not provide its record for the identified purpose.

If the state provides sealed state-pointer records (whether partially or entirely sealed) for the purpose code, a $.A.CHR message is sent to the state to provide the record. The response is incorporated into the IdHS and provided to the fingerprint contributor. For FBI-maintained state arrests (pseudo-pointers), the FBI's CJIS Division will provide sealed records in accordance with the state's sealing preferences.

The FBI's CJIS Division supports federal records in the NGI System. Federal records will be available for Purpose Codes C, J, S, F, and R, in accordance with federal legislation. Should federal legislation change, an additional TOU will be forthcoming advising the implementation impact to sealing functionality, if any. When a contributor seals a federal arrest, the arrest will not be provided as part of the IdHS for other Purpose Codes other than C, J, S, F, and R. If all federal arrests are sealed for the inquiry's purpose code, and no additional CHRI exists, a NO RECORD (nonident) response will be provided.

III Terminal Inquiries

When an authorized agency forwards a QH name inquiry to the III for a state or FBI-maintained record that ~~contains an SEL flag of Y~~is entirely sealed and the ~~purpose of the~~ inquiry is ~~an exempted sealing purpose~~ purpose for which the state will not share its sealed records, the III will not inform the inquirer of the existence of a sealed record. For single-source records, the III will send the inquirer a NO IDENTIFIABLE RECORD ON FILE response. For multi-source records, the III will only advise the inquirer of the existence of the record from sources other than the sealing state.

Example:

~~2L0112345XXXXHEADER.QH.GA00844902.FBI/9004000.PUR/I.ATN/TEST~~

2L0112345XXXXHEADER.QH.VAVSP0000.NAM/TESTRECORD, GIACOMO
ALONZO.SEX/M.FBI/9004000.PUR/F

Response:

NL0112345XXXXHEADER
~~GA00844902~~
VAVSP0000
NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III) FOR
FBI/9004000.PUR/F

When an authorized agency forwards a QR record request to the III for a record that ~~contains a seal flag~~ is entirely sealed, whether a state or an FBI-maintained record, and the ~~purpose of the~~ request is for ~~an exempted purpose~~ purpose for which the state will not share its sealed records, the III will not send a $.A.CHR message to the sealing state. For single-source records, the III will send a NO IDENTIFIABLE RECORD ON FILE response. For multi-source records, the III will send a $.A.CHR message to all sources of the record other than the sealing state(s). The requester will receive a record from only those sources.

When an authorized agency forwards a QH name inquiry to the III for a state-maintained record that is partially sealed (contains one or more sealed arrests but is not entirely sealed), the III will provide a positive response, whether a single-source or multi-source record.
Example:

```
2L0112345XXXXHEADER.QH.VAVSP0000.NAM/RECORD,WILLIAM TEST.FBI/9015000.PUR/X
```

Response:

```
7L0112345XXXXHEADER
VAVSP0000
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/RECORD,WILLIAM TEST.FBI/9015000.PUR/X
```

NAME	FBI NO.	INQUIRY DATE
RECORD,WILLIAM TEST	9015000	2020/01/01

SEX	RACE	BIRTH DATE	HEIGHT	WEIGHT	EYES	HAIR	PHOTO
M	W	1940/06/11	600		BLU	BRO	N

```
BIRTH PLACE
TEXAS

OTHER
BIRTH DATES
1940/01/11

IDENTIFICATION DATA UPDATED 2019/12/09

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:
  TEXAS          -  STATE ID/TX02949402

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

When an authorized agency forwards a QR record request to the III for a partially sealed state-maintained record, the III will send a $.A.CHR message to the sealing state to respond, whether a single-source or multi-source record.

When an authorized agency forwards a QH name inquiry to the III for a partially sealed FBI-maintained record (pseudo-pointer or federal record) and the inquiry is for a purpose for which the state and/or FBI will share sealed records respectively, the III will provide a positive response.

Example:

```
2L0112345XXXXHEADER.QH.VAVSP0000.NAM/KILLER,COPY CAT.SEX/F.RAC/B.DOB/
19680822.PUR/X
```

Response:

```
7L0112345XXXXHEADER
VAVSP0000
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/KILLER,COPY CAT.SEX/F.RAC/B.DOB/19680822.PUR/X


NAME                                 FBI NO.            INQUIRY DATE
KILLER,COPY CAT                      9039000            2020/01/01


SEX     RACE       BIRTH DATE      HEIGHT           WEIGHT EYES HAIR   PHOTO
F       B          1968/08/22      505              140    BRO  BRO    N


BIRTH PLACE
TEXAS


IDENTIFICATION DATA UPDATED 2019/12/03


THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE FOLLOWING:
   FBI       -   FBI/9039000


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

When an authorized agency forwards a QR record request to the III for a partially sealed FBI-maintained record and the request is for a purpose for which the state and/or FBI will provide the sealed records respectively, the FBI's CJIS Division will respond with the unsealed record. The NGI will send a $.A.CHR to additional states when appropriate for multi-source records.

7.5.4   INITIAL SETTING AND MAINTENANCE OF SEAL FLAGS

~~Under the III Sealing Program, t~~The FBI's CJIS Division sets the SEL flag value to N to indicate that the records in the III (newly established or updated) are available for dissemination. The sealing state must modify the seal flag when the record is not available for dissemination. The NFF states must use the EHN to seal an entire state-maintained record. Federal contributors and non-NFF states must use the SRC to seal individual federal arrests and state active pointer arrests. NFF and non-NFF states must use the SRC to seal individual pseudo-pointer arrests. The NGI System uses internal codes to indicate whether an individual arrest is sealed or unsealed. These codes are not visible to contributors; however, a state can check the status of its arrest by conducting a QR record request using Purpose Code A via the III. If all state arrests are sealed, the SEL flag will default to a Y. Additional criminal retain arrest submissions will revert the state's SEL flag to N. Previously sealed arrests will remain sealed. The new arrest remains unsealed until the state takes action to seal it.

~~The SIB~~ Federal agencies and sealing states must make programming changes to allow for use of the EHN and SRC messages to set sealing flags ~~(at a minimum, the addition of the SEL message field code to the EHN maintenance message format)~~. To initially set the SEL flags in the III to

restrict the dissemination of a sealed record, the state may submit a computer medium of EHN and SRC messages. States anticipating becoming a sealing participant should notify the III staff at least three months in advance to advise the FBI's CJIS Division for which purpose codes the sealed records can be disseminated. The FBI's CJIS Division must modify a software code table to identify a state as a participant and the purpose codes for which the sealed records may be disseminated. If a state attempts online sealing transactions before the CJIS Division staff make the software change, the SIB will receive the following single line reject message: "REJECT ORIGINATING AGENCY IS NOT A SEAL PARTICIPANT"

After the III sets the initial flags, the state may set or delete SEL flags with online EHN messages. An III state will be allowed to set a flag in any record that contains its SID Number; however, in each case, the III state should ensure that the entire state record, not just part of it, is sealed. ~~Agencies~~ The NFF states ~~may~~ must use the EHN message to seal entire state-maintained records~~; agencies wishing to seal parts of records must contact the CJIS Division's staff by e-mail at identity@ic.fbi.gov. The III state must use an EHN update transaction message to set the SEL flag in its record.~~ The EHN message must contain a header, MKE (EHN), state bureau ORI, SID, FBI UCN, and SEL/Y.

The SIB must use the following EHN message format to set and delete SEL status flags. An example of the FBI's response to this type of message is also included.

Example:

```
2L01HEADERXXXX01224.EHN.GAGBI0051.GA00844902.9004000.SEL/Y
```

Response:

```
KL01HEADERXXXX01224
GAGBI0051
ACCEPT EHN FOR SID/GA00844902
```

After the III state sets the SEL flag, the state may ~~delete~~ modify the flag by using another EHN message. The state must use an EHN message and change the SEL/Y to SEL/N to cancel a flag using the example above.

The SRC must be used by contributors to maintain sealing values for non-NFF state-maintained individual arrest(s), for FBI-maintained pseudo-pointer arrest(s), and federal CHRI. Federal contributors including CSO, USAO, and U.S. Courts cannot use the EHN to seal the entire record but can accomplish the same sealing functionality by submitting the SRC for each arrest. Additional information regarding use of the SRC is available in Section 5.4 of the manual.

7.5.5   ADDITIONAL SYSTEM ATTRIBUTES

7.5.5.1 ZI Responses

Under tThe III Ssealing Program, functionality uses flags to denote if the entire pointer is sealed or unsealed. Positive ZI responses for a state's entirely sealed record will include a seal value (SEL/) of Y after the IFS flag. tThe III will display a seal value (SEL/) of or N after the IFS flag in positive ZI responses for each partially sealed or unsealed records. An example of this message for an entirely sealed pointer follows:

```
9L01HEADERXXXX01234
DCFBIWAA2
IDENTIFICIATION SEGMENT OF III RECORD OF FBI/9004000 2014/09/10
TESTRECORD, GIACOMO ALONZO R M B MI DOB/19350228 HGT/507 WGT/140
EYE/BLK HAI/BLK
SMT/SC R ARM SOC/045508551 FPC/CODIPMAA151211171913
ADDITIONAL IDENTIFIERS
DOB/19350228
SOC/234523788
SMT/SC L ARM TOT UL ARM
AKA/
DLU/19950307 DRE/19921222
III FLAGS/C40
GA00844902 (19921222) (IFS/X) (SEL/Y)


BASED ON FBI NUMBER ONLY


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

7.5.5.2   Consolidations and Sealed Records

The III $.A.CON interface message and the accept message are modified to include the SEL Field when these messages are issued in response to an MRS message.

If the SEL flag is active in both records being consolidated, the SEL flag will remain active. However, isif a corresponding FBI-maintained pointer exists in the record being consolidated and the SEL flag is active in only one of the records, the SEL flag will revert to inactive (N), and the III will add a caveat to the $.A.CON message. The caveat will advise the state to review the consolidated records to determine the correct status flag. If the record should remain sealed, the state must transmit an EHN message via the III to set the SEL flag to a Y status. Sealed arrests will not be affected by consolidations, and their statuses (sealed or unsealed) will remain unchanged.

Consolidation Message with Sealing Caveat:

```
$.A.CON.SID/FL000013.fbi/9093399.ncic iii record consolidation
```

```
cancel.SID/FL0000235.FBI/9000600.SEAL FLAG DELETED. IF A REVIEW OF THE
CONSOLIDATED RECORD INDICATES THAT THE SEAL FLAG IS NECESSARY, SUBMIT
EHN TO SET SEALED FLAG
```

7.5.5.3 Assuming Control of a Sealed Record

When a state submits an MRS message to assume responsibility of a record in the III, the III will respond with an accept message. For those states ~~participating in the III S~~sealing ~~Program~~CHRI, the accept message will include the current SEL status for the record on the last line of the accept message. The record status will reflect a seal value (SEL/Y) when the state's record is entirely sealed. The record status will reflect a seal value (SEL/N) when the state's record is unsealed or partially sealed.

MRS Accept Message to Sealing Participant

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

7.5.5.4 Current Information Posted to a Sealed Record

When a current arrest fingerprint submission from the sealing state matches a sealed record or when a want is posted to a sealed record, the III will continue to send the $.A.SRN (Sealed Record Notification) unsolicited message to notify the sealing state of the current activity and request the state to verify the seal status when the state opts in. In 2019, the FBI's CJIS Division implemented a system change; an arrest fingerprint submission identing to a sealed criminal history record will not unseal existing arrests and will update the record with an unsealed arrest. The arrest will remain unsealed until the contributor takes action to seal it.

Example:

```
$.A.SRN.SID/FL0000013.FBI/9093399.RECENT ACTIVITY ON SEALED RECORD.
PLEASE VERIFY SEAL STATUS.
```

7.5.5.5 III Synchronization Record Layout

III participating states must conduct biannual audits of their III records. The FBI provides an electronic copy of the states' data in the III and current III status. The III synchronization medium includes the SEL flag as one of the data elements for which it checks for discrepancies for states ~~participating in the III Sealing Program~~ that seal criminal history records in the NGI System. The header title for this position will be SEL. The SEL status flag is designated in position 86 of the III synchronization record layout. The alphabetic character Y is placed in this position if the entire record is ~~not~~ sealed. If

the sealing state detects a discrepancy in the SEL status flag, it must forward the EHN or SRC update messages to the FBI modifying the flag accordingly. For those states not participating in the III Ssealing Program CHRI in the NGI System, this position should be ignored. More detailed information regarding the III synchronization can be found in Appendix S of this manual.

Chapter 15

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CHAPTER 15 – III CRIMINAL HISTORY RECORD SEALING PROGRAM

SECTION 15.1 – INTRODUCTION

15.1.1 INTRODUCTION

The III Sealing Program is available to any NFF or III state with statutory authority or requirement to seal an entire state-maintained record at the national level. Dissemination of sealed records is limited to a specific purpose code(s), as established by the state. Participants in the III sealing program enter an EHN maintenance message to seal state-maintained III records.

A state may be required to seal a record because of a court order or state law. Dissemination of information in sealed records is limited to a specific purpose code(s), as established by the state. If a state agency wants to seal part of a record (and not the entire record itself), agency staff should contact the CJIS Division's staff by e-mail at fbi-iii.@leo.gov.

Prior to sending EHN messages to seal criminal history records for a particular purpose, the III state must work with the FBI's CJIS Division to coordinate participation in the III sealing program and the schedule III software changes to allow the state to electronically seal records. To do this, the III state should either send a letter to CJIS Division staff or contact staff by e-mail at fbi-iii@leo.gov.

In 1993, the FBI changed the III to give NFF states the ability to seal state-maintained records in the III. This allowed NFF states to seal records at the national level and limit dissemination under specific purpose codes as established by the NFF states.

In July 2008, the FBI expanded the Sealing Program to any state with statutory authorization or requirement to seal an entire state-maintained III record at the national level, thus limiting the record's dissemination under a specific purpose code(s), as established by the III state.

SECTION 15.2 – NFF SEALING PROGRAM DESIGN

15.2.1 SYSTEM DESIGN

The III Sealing Program design sets flags in the IIII when a state's entire criminal history record is not available for dissemination for a specific purpose code(s). The design incorporates two flags into the system. The FBI and the III Sealing Program participants use the flags to maintain the status of the records; however, the flags are not visible to the requesting states. The seal flags are:

        Y   Indicates the state's criminal history record is sealed
        N   Indicates the state's criminal history record in unsealed

The III Sealing Program participant sets a seal value of Y whenever a state has a criminal history record that is unavailable for dissemination for a specific purpose code(s). The III Sealing Program participant sets a seal value of N whenever a state maintains a criminal history record that may be dissemination for all purpose codes. The SEL will be followed by a Y or an N.

15.2.2 RECORD RESPONSE PROCESSING

Responses Resulting from Fingerprint Submissions

The FBI's CJIS Division disseminated information from both NFF states, as well as criminal history records from states which have a state-pointer, instead of the FBI Identification Record to process fingerprint submission, if authorized for the specific purpose code. The FBI CJIS Division uses the stat records only for the purposes for which the FBI is authorized to disseminate the records according to the states' sealing categories. Therefore, when a fingerprint submission is identified with a state record that contains a seal flag of Y, the CJIS Division's staff will not send a $.A.CHR message to the state for the exempted sealing purpose. For single-source records, the CJIS Division's staff will send the fingerprint contributor a NO RECORD (nonidentification) response. For multi-source records, the CJIS Division's staff will send a $.A.CHR message to all holders of the record other than the sealing state, and the contributor will receive responses from those sources and the FBI Identification Record, if appropriate. State at the CJIS Division will not send a $. A.CHR message to the sealing state that will not provide its record for the identified purpose.

Terminal Inquiries

When an authorized agency forwards a QH name inquiry to the III for a record that contains an SEL flag of Y and the purpose of the inquiry id for an exempted sealing purpose, the III will not

~~inform the inquirer of the existence of a sealed record. For single-source records, the III will send the inquirer a NO IDENTIFIABLE RECORD ON FILE response. For multi-source records, the III will only advise the inquirer of the existence of the record from sources other than the sealing state.~~

~~**Example:**~~

~~2L0112345XXXXHEADER.QH.GA00844902.FBI/9004000.PUR/I.ATN/TEST~~

~~**Response:**~~

~~NL0112345XXXXHEADER~~
~~GA00844902~~
~~NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX (III) FOR FBI/90040000.PUR/I~~

~~When an authorized agency forwards a QR record request to the III for a record that contains a seal flag and the purpose of the request is for an exempted sealing purpose, the III will not send a $.A.CHR (Criminal History Request Notification) message to the sealing state. For single-source records, the III will send a NO IDENTIFIABLE RECORD ON FILE response. For multi-source records, the III will send a $.A.CHR message to all sources of the record other than the sealing state(s). The requestor will receive a record from only those sources.~~

~~**15.2.3 INITIAL SETTING AND MAINTENANCE OF SEAL FLAGS**~~

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

~~The SIB must make programming changes to allow for use of the EHN message to set sealing flags (at a minimum, the addition of the SEL message field code to the EHN maintenance message format). To initially set SEL flags in the III to restrict the dissemination of a sealed record, the state may submit a computer medium of EHN message. States anticipating becoming a sealing participant should notify the III staff at least three months in advance to advise the FBI's CJIS Division for which purpose codes the sealed records can be disseminated. The FBI's CJIS Division must modify software code table to identify a state as a participant and the purpose codes for which the sealed records may be disseminated. If a state attempts online sealing transactions before the CJIS Division staff make the software change, the SIB will receive the following single line reject message:~~

~~"REJECT ORIGINATING AGENCY IS NOT A SEAL PARTICIPANT"~~

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

sealed. The III state must use an EHN update transaction message to set the SEL flag in its record. The EHN message must contain a header, a MKE (EHN), the state bureau ORI, the SID Number, the FBI UCN, and the SEL/Y.

The SIB must use the following EHN message format to set and delete SEL status flags. An example of the FBI's response to this type of message is also included.

Example:

2L01HEADERXXXX01224.EHN.GAGBI0051.GA00844902.9004000.SEL/Y

Response:

KL01HEADERXXXX01224
GAGBI0051
ACCEPT EHN FOR SID/GA00844902

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

15.2.4 ADDITIONAL SYSTEM ATTRIBUTES

15.2.4.1 ZI Responses

Under the III Sealing Program, the III will display a seal value of Y or N after the Identification for Firearm Sales (IFS) flag in positive ZI responses for each sealed or unsealed record. An example of this message follows:

9L01HEADERXXXX01234
DCFBIWAA2
IDENTIFICATION SEGMENT III RECORD OF FBI/9004000 2014/09/10
TESTRECORD,GIACOMO ALONZO R M B MI DOB/19350228 HGT/507 WGT/140
EYE/BLK HAI/BLK
SMT/SC R ARM SOC/045508551 FPC/CODIPMAA151211171913
ADDITIONAL IDENTIFIERS
DOB/19350228
SOC/234523788
SMT/SC L ARM TAT UL ARM
AKA/
DLU/19950307 DRE/19921222
III FLAGS/C40
GA00844902 (19921222) (IFS/X) (SEL/Y)
BASED ON FBI NUMBER ONLY
THIS RECORD CAN BE USED FOR ADMINISTRATIVE PURPOSES ONLY AND CANNOT BE
DISSEMINATED FOR ANY OTHER PURPOSE.
END

15.2.4.2 Consolidations and Sealed Records

The III $.A.CON (FBI Number Consolidation) interface message and the accept message are modified to include the SEL Field when these messages are issued in response to an MRS message.

If the SEL flag is active in both records being consolidated, the SEL flag will remain active. However, if a corresponding FBI-maintained pointer exists in the record being consolidated and the SEL flag is active in only one of the records, the SEL flag will revert to inactive (N), and the III will add a caveat to the $.A.CON message. The caveat will advise the state to review the consolidated record to determine the correct status flag. If the record should remain sealed, the state must transmit an EHN message via the III to set the SEL flag to a Y status.

Consolidation Message with Sealing Caveat:

```
$.A.CON.SID/FL000013.FBI/9093399.NCIC III RECORD CONSOLIDATION
CANCEL.SID/FL0000235.FBI/9000600.SEAL FLAG DELETED. IF A REVIEW OF THE
CONSOLIDATED RECORD INDICATES THAT THE SEAL FLAG IS NECESSARY, SUBMIT
EHN TO SET SEALED FLAG
```

15.2.4.3 Assuming Control of a Sealed Record

When a state submits an MRS message to assume responsibility of a record in the III, the III will respond with an accept message. For those states participating in the III Sealing Program, the accept message will include the current SEL status for the record on the last line of the accept message.

MRS Accept Message to Sealing Participant:

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

15.2.4.4 Current Information Posted to a Sealed Record

When a current arrest fingerprint submission from the sealing state is identified to a sealed record or when a want is posted to a sealed record, the III will send the $.A.SRN (Sealed Record Notification) unsolicited message to notify the sealing state of the current activity and request the state to verify the seal status.

Example:

```
$.A.SRN.SID/FL000013.FBI/9093399.RECENT ACTIVITY ON SEALED RECORD.
PLEASE VERIFY SEAL STATUS
```

~~**15.2.4.5 III Synchronization Record Layout**~~

~~III participating states must conduct biannual audits of their III records. The FBI provides an electronic copy of the states' data in the III and current III status. The III synchronization medium includes the SEL status flag as one of the data elements for which it checks for discrepancies for states participating in the III Sealing Program. The header title for this position will be SEL. The SEL status flag is designated in position 86 of the III synchronization record layout. The alphabetic character Y is placed in this position if any part of the record is sealed or an alphabetic character N is placed in this position if the record is not sealed. If the sealing state detects a discrepancy in the SEL status flag, it must forward an EHN update message to the FBI modifying the flag accordingly. For those states not participating in the III Sealing Program, this position should be ignored. More detailed information regarding the III synchronization can be found in Appendix S of this manual.~~

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CHAPTER ~~16~~ 15—WANTED PERSON AND SEXUAL OFFENDER INFORMATION AND FLASH NOTICES

SECTION ~~16.1~~ 15.1—INTRODUCTION

This chapter describes the procedures for handling wanted person information maintained at the FBI's CJIS Division and for processing flash notices submitted by NFF states. In addition, this chapter addresses how adding a sexual offender registration changes an III criminal history record.

Section ~~16.2~~ 15.2 describes the procedures for processing wanted person information for both III and NFF states.

Section ~~16.3~~ 15.3 addresses how sexual offender information appended to a criminal history record can result in a record status change that applies to both the III and NFF states.

Section ~~16.4~~ <mark>15.4</mark> describes the procedures for processing flash notices affecting only NFF participating states.

SECTION ~~16.2~~ <mark>15.2</mark>—PROCESSING WANTED PERSON INFORMATION

An authorized agency should enter the FBI UCN in a new or existing wanted person record. When the agency enters the FBI UCN into the wanted person record, the same wanted information is posted in the subject's criminal history record in the NGI System. The staff at the FBI's CJIS Division will then notify a wanting agency of subsequent fingerprints received that are identified with the wanted person. Also, when a clear, cancel, or locate transaction is processed to the wanted person record, the III will transmit a notification to the agency to remove the wanted notice from the criminal history record.

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

When the NGI System identifies a tenprint submission with a record containing active wanted person data, the III will notify the wanting and arresting agencies immediately via the International Justice and Public Safety Network (Nlets). The FBI provides a copy of the IdHS containing the wanted person data to the tenprint contributor.

If an III or NFF state does not provide wanted person information as part of its criminal history record and the state enters a "want" from a nonfederal agency into the FBI record, the FBI will provide the wanted person information. Thus, a record that may be single-source based on arrest information will become multi-source based on the presence of want data. The addition of the want (to include a federal or an out-of-state want) to the FBI record will generate a $.A.MSO (multi-source offender) message to the state. Conversely, the cancellation of a want will generate a $.A.SSO message.

A ZI (Record Maintenance) message response format indicates a unique FBI pointer when the FBI is responsible for providing the wanted person information. The pointer will be formatted similar to other FBI pointers, e.g., FLWP062060 data where FL is the state code, WP indicates the wanted person data to be provided by the FBI, and 062060 is the DOB.

SECTION ~~16.3~~ <mark>15.3</mark>—SEX OFFENDER NOTIFICATION IN CRIMINAL HISTORY RECORDS

The National Sex Offender Registry (NSOR) data contained in an FBI IdHS is obtained from the NSOR within the NCIC. When all record information pertaining to a subject is provided by a III state(s), the FBI's CJIS Division will respond to an inquiry with an FBI IdHS containing only the NSOR information. The addition of the NSOR data to a single-source record will change the record status to multi-source. The state of record will receive a $.A.MSO unsolicited message to change the status of its record.

SECTION ~~16.4~~ <mark>15.4</mark>—PROCESSING FLASH NOTICES

Agencies establish flash notices based on requests from county, state, and federal probation and parole authorities; pretrial diversion coordinators; and other criminal justice agencies. These authorities submit a flash request form to CJIS Division staff when the organization wants to be informed of any new criminal activity while the subject is on probation or parole.
The FBI requires that the subject's DOA and the FBI UCN be included on the form. If the FBI UCN is not known, the contributor must attach a completed criminal tenprint. If any of this information is missing or if the DOA is not on file in the subject's record, the FBI will return the form to the contributor. When the FBI identifies a criminal tenprint with a record containing a flash notice, the FBI will send a copy of the IdHS to the agency that submitted the flash notice. If the tenprint contributor indicates that a copy of the record should be provided, the FBI will send the IdHS to the agency.

Under the NFF Program, the FBI cannot process a flash notice from an NFF state because there is no matching DOA on file. NFF states append these flash notices to their state records and/or send them to the NCIC. Prior to NFF participation, a state should advise all affected agencies that the flash notice service is being discontinued. The FBI will return to the state bureau all flash notice forms received from nonfederal agencies in the NFF state.

With the implementation of the Supervised Release File in the NCIC in 1999, authorized correctional/supervisory agencies have the online capability to enter, modify, and cancel flash notices; however, flash notices entered into the NCIC are not appended to the IdHS. Additional information can be found in the Supervised Release File of the *NCIC Operating Manual.*

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CHAPTER ~~17~~ <mark>16</mark>—FILE AUDITS

SECTION ~~17.1~~ <mark>16.1</mark>—INTRODUCTION

This chapter furnishes information about the synchronization audit process for the III and state files. III synchronization audits conducted by a state participating in the III continue when the state becomes a NFF participant. Refer to Chapter 4, Section 4.4, and Appendix S of this manual for information on the III synchronization audit process.

Section ~~17.2~~ <mark>16.2</mark> of this chapter provides information on the audit process which is specific to states participating in the NFF.

SECTION ~~17.2~~ <mark>16.2</mark>—FREQUENCY OF SYNCHRONIZATION AUDITS

As discussed in Chapter 4, Section 4.4, of this manual, the state staff conducts synchronization audits of the III and state files; states may opt to perform two additional audits per year. The CJIS Audit Unit (CAU) staff recommends that all III and NFF states conduct the additional audits, which serve as a significant quality control feature, especially if the states are experiencing excessive discrepancies caused by lost messages or other system problems.

As per the state *NFF Qualification Requirements,* Section II, Part C, NFF states must keep their synchronization discrepancy reports on file from the prior two synchronization audits. During a subsequent audit, the CAU staff verifies a sampling of discrepancies from the prior two audits to ensure that the NFF has resolved all prior discrepancies. Detailed information pertaining to the III synchronization is located in Appendix S of this manual.

APPENDIX S

III File Synchronization (Audit) Specifications

To produce the III audit media, the III System creates media of each state's records during this time period. A state agency with questions about the III synchronization schedule and other related issues should contact the III staff of the Biometric Services Section (BSS), CJIS Division via e-mail at fbi-iii@leo.gov.

The following table provides a high-level overview of information contained in the synchronization media.

Record Selection Criteria:

Status	With a SID Number	With an FBI Pointer for State Data
Active (S or M)	All Records	Only records established in the III on or after 04/20/1983, are present on compact disc (CD) or file transfer protocol (FTP). All records with an FBI UCN containing all numeric or alphabetic suffix of A through M, S, Y, and Z are included.
Consolidated (C)	Records wherein a state's SID Number was consolidated since the previous audit	Records meeting the criteria described for active records where the FBI consolidated the FBI pointer since the previous audit.
Deceased (D)	Records wherein a state's SID Number was deceased since the previous audit	Records meeting the criteria described for active records where the FBI deceased the FBI pointer since the previous audit.
Deleted (W)	Records wherein a	Records meeting the criteria described for

	state's SID Number was deleted since the previous audit	active records where the FBI deleted the FBI pointer since the previous audit.
Expunged (E)	Records wherein a state's SID Number was expunged since the previous audit	Records meeting the criteria described for active records where the FBI expunged the FBI pointer since the previous audit.
IFFS Flag (D or X)	Records wherein a state's SID Number is active and the status for firearm sales determination is present	Records meeting the criteria described for active records where a firearm transfer status is present. Refer to Chapter 7 of this manual for definitions of these flags.
SEL Flag (Y or N)	Records wherein a state's SID Number is active and may contain a SEL Flag	Records meeting the criteria described for active records where the record contains a SEL Flag of Y (yes) is present. If a N (no) is present, the record does not contain a SEL Flag but may contain sealed arrests.

Sort Criteria:

The III System sorts records based on the SID Field. Because the asterisk (*) has a lower value than an alphabetic or numeric character, records with an FBI pointer will appear first. The status of the record (active, consolidated, deceased, deleted, expunged, and records containing IFFS and SEL Flags) does not affect the sorting criteria.

The following pages provide examples of the III Synchronization Audit documents given to the states.

RECORD LAYOUT WORKSHEET

	Medium	Length	Record Form	Format	Density	Labels	
	Reel OPT	Record 90	F __	EBCDIC OPT	1600 ____	None OPT	Page 1 of 1
Record Name III STATE SYNCHRONIZATION	Cartridge OPT	Block 9,000	FB X	ASCII OPT	6250 OPT	Standard OPT*	Date 2001/05/21
Data Set Name III.OUT.SYNC.XX-(XX CHARACTER STATE CODE)	8MM OPT				18 Track OPT		
					36 Track OPT		

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

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

LEGEND:

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

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

	Position (s)	Active	Deceased	Expunged	Consolidated	Deleted
Record Identifier	1-4 (4)	IIIS	IIIS	IIIS	IIIS	IIIS
SID or FBI Pointer	5-14 (10)	SID or FBI Pointer	SID or FBI Pointer	SID or FBI Pointer	SID or FBI Pointer	SID or FBI Pointer
FBI	15-23 (9)	FBI Number	FBI Number	FBI Number	FBI Number	FBI Number
**SFI	24 (1)	M or S	D	E	C	W
NAM	25-54 (30)	Name	Name	Blanks	Blanks	Blanks
SEX	55 (1)	M or F	Blank	Blank	Blank	Blank
RAC	56 (1)	Race Code	Blank	Blank	Blank	Blank
DOB	57-64 (8)	Date of Birth	Blanks	Blanks	Date of Birth	Date of Birth
***SCI	65-66 (2)	Blanks	State Code	Blanks	Blanks	Blanks
&DPR	67-74 (8)	Blanks	Deceased Date	Expungement Date	Consolidation Date	Deletion Date
+DPE	75-82 (8)	Date Pointer Established	Date Pointer Established	Date Pointer Established	Date Pointer Established	Date Pointer Established
++REA	83 (1)	Y (yes) or N (no)	Blank	Blank	Blank	Blank
+++IFS	84 (1)	D, C, or X	Blank	Blank	Blank	Blank
#AFC	85 (1)	N (no)	Blank	Blank	Blank	Blank
##SEL	86 (1)	Y (yes) or N (partial, unsealedno) Blank	Blank	Blank	Blank	Y (yes) or N (no)
Filler	87-90 (4)	Blanks	Blanks	Blanks	Blanks	Blanks

*   If standard labels used, they must be IBM labels.
**   SFI – Status Flag Indicator where M-Multisource; S-Singlesource; D-Deceased; E-Expunged; C-Consolidated; W-Deleted
***   SCI – 2-character state code of agency reporting death.
&   DPR – Date Pointer (SID or FBI) removed due to subject's death, Expungement, consolidation with another record, or deletion.
+   DPE – Date Pointer (SID or FBI) established. For deceased, expunged, consolidated, and deleted records, this will be the date the associated SID or FBI pointer was originally established in III.
++   REA – Reactivation Flag, indicated that the suppressed state record was reactivated to an FBI pointer.
+++   IFS – Identification for Firearms Sales Flag. Indicates subject's conviction status where D-Disqualification; C-No Disqualification; X-Record status unknown or court action pending.
#   AFC – Approximate Fingerprint Classification Flag. No longer applies, please disregard.
SEL – Sealed Record Flag. Indicates record is sealed, partially sealed, or unsealed.

CERTIFICATE OF AUDIT PROCESSING
FEDERAL BUREAU OF INVESTIGATION
INTERSTATE IDENTIFICATION INDEX PROGRAM

Certification of Audit Processing

Re: Interstate Identification Index (III) synchronization
       file for

       _____ .
                month/year

       I certify that the records on the synchronization file
identified above were processed by this agency and compared with
corresponding state records. For those records indexed in III
for this agency, a corresponding state criminal history record
is available. Our state identification numbers have been
removed from III for any records that no longer exist at the
state level. Action also has been taken to correct any other
discrepancies noted between the III and state records.

_____
     Agency or Department

_____   _____
        Signature   Date

Please return this document within 90 days of receipt. If you
have any questions contact the Interstate Identification Index
staff at 304-625-3652 or ORI/DCFBIWA10.

III SYNCHRONIZATION AUDIT

INFORMATION NOTICE
The information contained on the III Synchronization File is unclassified sensitive. The file and the information contained on it may only be used, processed, stored, reproduced, or transmitted in accordance with FBI policies and procedures.
CERTIFICATION OF AUDIT PROCESSING FORM AND CONTACT CHANGES
Please indicate any changes to the synchronization notification contact(s) on the bottom of the Certification of Audit Processing Form. Please return this form to the address, email or facsimile number listed below within 90 days of receipt.
MEDIA
States that receive synchronization data on a CD are asked to not return the media to the FBI. This will prevent potential breaches of personally identifiable information.
FTP
States that receive synchronization data via file transfer protocol (FTP), the file will be available within two business days after the scheduled III synchronization and will be available for 45 days from this date. Please note the file name is FTP.FTPUSERID.SYNC.III.
SYNCHRONIZATION AUDIT SCHEDULE
Synchronization notification contact(s) will be advised of scheduled III synchronizations approximately 30 and 15 days prior to creation of the III synchronization media. For each biannual and quarterly synchronization, the III is placed in restricted service (inquiry only) on the designated Sunday.

- BIANNUAL SYNCHRONIZATION–is a requirement for all states participating in the III Program.
- QUARTERLY SYNCHRONIZATION–is optional for all states. State participation is coordinated with the III staff.

Any questions and correspondence regarding the III Synchronization Audit can be directed to the III Staff at the following:

BSS/CHIPU/IQST/BTC-3
Criminal Justice Information Services Division
1000 Custer Hollow Road
Clarksburg, WV 26306
Telephone: 304-625-3652; Facsimile: 304-625-9072
E-mail: fbi-iii@leo.gov

FTP TECHNICAL INSTRUCTIONS

FTP allows the user to electronically retrieve NCIC validations, Special Request (SPRQ) response results, III, and general NCIC documentation. FTP can be performed using a command line interface or a commercial program that uses a graphical user interface.

The state must send the FTP request using an Internet Protocol (IP) connection that is defined to the CJIS Division's firewall. If a state is unable to use the same connection as its normal NCIC/III traffic, the state agency must contact its NCIC coordinator at the CJIS Division so that Division staff can add additional IP addresses to the firewall. FTP is **not** a MKE; there are no ORI requirements or restrictions. Because the FTP interface has many variations, instructions may not apply to every agency; however, the following instructions may be useful to some users:

Establish session and login

- Establish an FTP session with the NCIC host computer and sign on using the state's assigned UserID and password.
- The state's UserID will be formatted as FTPaan where >aa = is the 2-character code for your state (or agency) and >n = is a number. For example: FTPCA1
- When a state first creates a UserID, and whenever the CJIS Help Desk personnel reset the state's password, the agency will receive a default password. This password will expire when an agency signs on for the first time, and the agency must change it. If an agency only enters the default password, the agency will receive a message that the password is expired and will not receive a prompt to enter a new password. An agency should contact the CJIS Division's Help Desk at 304-625-4357 for assistance with a forgotten password or difficulty logging on.

Change your password

The format to change your password is: oldpassword/newpassword/newpassword.
For example, if the CJIS Division's Help Desk has reset your password to DEFAULT (this is the old password) and the agency wants to use a password of RAINDROP (this is the new password). At the password prompt, agency staff should type:
DEFAULT/RAINDROP/RAINDROP to change the password.
The next time staff at the agency signs on, and for the next 90 days, agency staff will only need to type RAINDROP at the password prompt. After 90 days, the password will expire, and the agency will need to change it again. At that time, RAINDROP will become the old password.

Retrieve files

The format to retrieve a file is: command >file-to-be-retrieved = your-storage-location.
At the prompt, the state must enter the **get** command followed by the name of the file to be retrieved and the location where the file is to be stored on the system. Examples follow:

get 'FTP.FTPaan.Fnnnnnn' c:\sprq\fnnnnnn

get >FTP.FTPaan.aaxxmmyy = a:\val\feb15

get >FTP.GLOBAL.INDEX = w:\xyz

get 'FTP.FTPaan.suffix.III' c:\iii\apr15

- The agency **must** enter the **get** command in lower case, or the retrieval will not work.
- The agency **must** enclose the name of the file to be retrieved in **single** quotes. Double quotes will not work.
- If an agency does not specify a storage location, the FBI's CJIS Division will download the file into the directory the state is currently using to perform the FTP. However, if an agency is using Linux, the agency **must** specify the location where the file is to be stored.
- An agency may enter file names in either upper and/or lower case.
- FTPaan is the UserID.
- Fnnnnnn is the SPRQ file name identifier contained in the $.B notification message. These files are available online for 5 days.
- aaxxmmyy is the validation file name identifier contained in the $.B notification message. These files are created the first Saturday of each month and are available online for thirty 30 days.
- Suffix is the III file name identifier for III files. This will vary depending on the type of file being created.

The III synchronization files will have a suffix of SYNC. The III creates these four times a year and are available online for 30 days. The III also creates other files, such as queries, statistics, or records, as requested; these files will be available for 7 days.

American Standard Code for Information Interchange (ASCII)/Binary files

If an agency has downloaded a file but is unable to read the data, the agency may need to specify the correct format before downloading the file again. NCIC validations, III synchronization, and general documentation are in ASCII; SPRQ results are in binary format.

If the file is in ASCII, at the prompt, enter **ASCII** then press <enter>.

If the file is binary, at the prompt, enter **bin** then press <enter>.

Once completed, the agency should download the file again, and the agency staff should then be able to read it. If the agency staff cannot read the file, staff should contact the III staff at 304-625-3652.

Working Directory

If staff from an agency attempts to look at the contents of its working directory, the directory will be empty because all of the validation and SPRQ files are written to a single directory, rather than being written to separate directories for each user. UserID may only access files for their specific state/agency. UserID are not allowed to access files for another state/agency.

Passive Mode

If an agency is unable to connect and receiving a message about "passive mode," the staff will need to change passive mode on your machine using the following steps:

>   For IBM OS390 machines, type: locsite fwfriendly

>   For other machines, type: pass

This will turn the passive mode on if it is off, or it will turn passive mode off if it is on. If this does not work, the agency will need to contact someone at the agency (i.e., systems programmer, information technology group, etc.)

Rules of Behavior

- Do not share your password and/or account.
- Do not attempt to gain access to data for which you are not specifically authorized. Attempts of this nature may result in suspension or revocation of access.
- Access is subject to monitoring for law enforcement or other purposes.

If an agency has problems with the firewall, the agency should contact the CJIS Division's telecommunications area by telephone at 304-625-3030.

NOTE: Each time the III places a new synchronization on the server, the new synchronization always replaces the previous synchronization file.

Record Comparison

III/NFF participants must ensure that the SID Number and FBI UCN in the III are the same for each corresponding state record. For every active record in the III with a SID Number, there must be a corresponding active record in the state file that is available for dissemination. If not, the state must delete the SID Number from the III.

The FBI provides all records that the FBI is responsible for disseminating for the state (pseudo-pointer records). The III/NFF state is not required to reconcile these records within the 90 day period required for state pointer records. The FBI's CJIS Division will continue to provide the pseudo-pointer records until the state can assume responsibility for them. If the state chooses to

review the records for assumption of dissemination, the state must ensure that it does not add its SID Number to the III unless the state record is at least as complete as the FBI record. If a state cannot take responsibility of the records, the FBI pointers will continue to be included on the synchronization file. The state can forward the signed certification of audit processing form as long as all other discrepancies have been handled for the state pointer records.

When comparing data on the synchronization file with state records, it is helpful if a listing of true discrepancies is generated by the state programming staff. A printed display of the status of the FBI record along with the state record status alleviates additional inquiries of the III by the state analyst processing the discrepancies. If the status of a record has been updated subsequent to the creation date of the synchronization file, the comparison at the state level should take into consideration the last date the state record was updated in order to identify a true discrepancy.

Synchronization File Data Elements

The following synchronization file data elements with corresponding details may assist the state analyst in processing the audit and resolving discrepancies:

SID NUMBER—A discrepancy in the SID Number(s) could be the result of a data entry error, a typographical error, or an unclearly written or a poorly stamped SID Number on a fingerprint submission. In these cases, the state should send an MRS modification message to update the III. If the state identifies a pattern that may indicate a software or procedural problem, the state should notify the CJIS Division's III staff. A SID Number discrepancy may be the result of a fingerprint submission to the FBI that may have been rejected back to the state, and the state may not have resubmitted the arrest fingerprints.

FBI UCN—The FBI UCN must be present and should be an exact match. If not, the state should check the record to ensure the correct FBI UCN has been entered in the appropriate state record.

STATUS FLAG INDICATOR (SFI)—The SFI reflects the current status of the III record. The SFI is a critical element of the audit to identify and correct discrepancies. The state status must match the III status. If the state status does not match the III status, the state will remain out of synchronization, and inaccurate records may be disseminated. The valid SFI flags are:

  S   =   Single-source (record is considered active by the FBI)

  M   =   Multi-source (record is considered active by the FBI)

  D   =   Deceased (record is considered inactive by the FBI)

  E   =   Expunged (record is considered inactive by the FBI)

  C   =   Consolidated (record is considered active by the FBI)

W = Deleted (record is considered inactive by the FBI)

NAME (NAM)—The name reflected on the FBI file is the base name that the FBI has as the master name for the subject. A match on the name is not necessary and should not be considered a discrepancy, as the name the FBI provides may have originated from another state or federal arrest, or possibly a civil event.

SEX—The FBI sex code should match the state record; if not, this is a discrepancy. The sex code is a unique element and cannot be corrected online. For a discrepancy in this field, the state should contact the FBI's CJIS Division Customer Service Group personnel at 304-625-5590 for possible change.

RACE (RAC)—The FBI race code should match the state record; if not, this is a discrepancy. The race code is a unique element and cannot be corrected online. For a discrepancy in this field, the state should contact the FBI's CJIS Division Customer Service Group personnel at 304-625-5590 for possible change.

Date of Birth (DOB)—The DOB reflected on the FBI file is the base or "master" DOB from the FBI file and may have originated from another state or federal agency, or a civil event. For a discrepancy in this field, the state should contact the FBI's CJIS Division Customer Service Group personnel at 304-625-5590 for assistance. Agencies may review additional DOBs by using a ZI administrative inquiry. Additional information on the ZI administrative inquiry is provided in Chapter 3, Section 3.7.

STATE CODE INDICATOR (SCI)—The SCI is filled with the two-character alphabetic state abbreviation of the state reporting the death of the subject when the SFI (status flag indicator) reflects D for deceased. Example: OH for Ohio or SC for South Carolina. The SCI indicates that either a SIB or the FBI received deceased fingerprints as the notification of death. The state conducting the audit should flag its record as deceased.

DATE POINTER REMOVED (DPR)—The DPR is filled with a date only if the SFI reflects D for a deceased record, E for an expunged record, C for a consolidated record, or W for a deleted record. If the state's records do not match, this is a discrepancy. States should review records to identify if the record should be deceased, expunged, consolidated, or deleted and if so, the state should take appropriate action. Otherwise, the state should contact the FBI's CJIS Division Customer Service Group personnel at 304-625-5590 for possible correction.

DATE POINTER ESTABLISHED (DPE)—The DPE reflects the date the pointer was originally established in the III including deceased, expunged, consolidated, and deleted records. This date may be helpful in resolving discrepancies in the state record.

IDENTIFICATION FOR FIREARM SALES (IFFS)—An IFS status flag is designated in position 84 in the record layout for III audit records. III/NFF states not participating in the IFFS

flagging program may ignore this position. The alphabetic character D or X will be located in this position. If the IFFS state detects a discrepancy in the IFS status flag, the state must forward an EHN update message to modify the flag. (Information regarding EHN messages is available in Chapter 5, Section 5.2, of this manual.) The IFFS Program design uses two flag values to indicate a subject's eligibility to purchase or possess a firearm: D, which indicates disqualification for firearms, and X, which indicates status unknown. The value X is also used as the default before the record is reviewed to determine if the D value should be set. A properly set IFS status flag enables state and federal agencies to make valid firearm transaction decisions.

To improve the accuracy of the IFS status flags, note that:

- Many IFS status flags are incorrectly set.
- Incorrectly set IFS status flags negatively impact state and federal firearms background check programs. This affects programs managed by the FBI's CJIS Division's National Instant Criminal Background Check System (NICS) by increasing transaction review time and Point of Contact states which use the FBI's NICS to conduct firearms background checks. The IFS status flag is a valuable asset to the FBI NICS and states which conduct firearms transactions; the IFS status flag value is used to decide whether a firearm transfer can take place. The FBI uses the default setting of X when establishing criminal history records. The value of the IFS status flags should be updated to reflect the most accurate value when the disposition becomes available.

The IFFS Program was mandated by an act of Congress in 1988 which directed the Attorney General to develop a system for the immediate and accurate identification of felons who attempt to purchase firearms. Originally implemented in 1992, the program was modified in 1996 by the Lautenberg Amendment, which extended the federal prohibitions for firearms possession or purchase to include convictions for misdemeanor crimes of domestic violence.
Only IFFS Program participants should reset IFS status flags. Although participation in the IFFS Program is voluntary, many public safety and economic benefits exist for the constituents in your state. For additional information regarding the IFFS Program, please contact the III staff by telephone at 304-625-3652, or via e-mail at fbi-iii@leo.gov. Information about the IFFS Program and IFS flags is contained in Chapter 7, Section 7.1, of this manual.

SEAL FLAG (SEL) – The III synchronization medium includes the SEL status flag as one of the data elements for which it checks for discrepancies for states ~~participating in the III S~~sealing ~~Program~~ records in the NGI System. The header title for this position will be SEL. The SEL status flag is designated in position 86 of the III synchronization record layout. The alphabetic character Y is in this position if ~~any part of~~ the state's entire record is sealed; an alphabetic character N is in this position if the record is not sealed or partially sealed. ~~If the sealing state detects a discrepancy in the SEL status flag, it must forward an EHN update message to the FBI modifying the flag accordingly.~~ States not sealing CHRI in the NGI System ~~participating in the III Sealing Program~~ should ignore this position. Additional information about SEL Flags is available in Chapter 7, Section 7.5, of this manual.

EHN Update Message

Introduction

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

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

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

Example:

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

Explanation:

Message Segment	Field	MFC
2L01HEADERXXXX01234.	Header	--
EHN.	Message Key	--
MD1012600.	Designated State Agency Identifier	--
MD81331911.	SID Number	--
9015174.	FBI UCN	--
AKA/DOE, JP.	Alias	AKA/
DOB/19561126.	Date of Birth	DOB/
MNU/PP-88123.	Miscellaneous Number	MNU/
SMT/SC R ARM.	Scars, Marks, Tattoos	SMT/
SOC/223456789	Social Security Number	SOC/

III users who enter more than one supplemental identifier for a particular field must use a period (.) to separate the entries. If the field abbreviation is repeated, the III will reject the message. The reject message will state "DUPLICATE XXX" where XXX represents the MFC. Specific types of reject messages for this MKE are furnished in [Appendix C](#) of this manual.

When an EHN update message contains a supplemental identifier(s) that is already on file, the III will write over the existing identifier(s) (without changing or adding duplicate identifier[s]) and accept the message. If multiple EHN messages are included in a single entry, and the message rejects one of the entries, all the entries in the particular message will be rejected.

Message Format:

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

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

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

MRS Modification Message to Modify an Incorrect SID Number

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

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

Example:

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

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

Determination of Discrepancies and Error Corrections

As the state analyzes the results of the synchronization file comparison, it may need to run III inquiries to resolve some of the discrepancies. The state may use the III administrative inquiries to resolve the discrepancies. The first is the ZRS (Record Maintenance) message which

automatically transmits a $.A.SSO or $.A.MSO message to the state's database. A multi-source record is defined as a record consisting of multiple sources of information, i.e.; two or more states, one state and one federal, or one state and an active want or sexual offender notice. The ZRS inquiry is used to determine whether the record corresponding to a specific SID Number or FBI UCN is a single-source or multi-source record.

ZRS Inquiry

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

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

Example:

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

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

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

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

Positive Response Using SID Numbers

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

```
5L01HEADERXXXX01234
XXVSP0000
SID/XX81331911 ON FILE III RECORD IS SINGLE-STATE (or MULTI-STATE)
```

In addition to the above response, the III will transmit the applicable $.A.SSO or $.A.MSO message. Additional information regarding MSO and SSO messages is provided in Chapter 4, Section 4.3, of this manual.

Response When the SID Number is Not on File or the SID Number is Flagged as Deceased or Expunged

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

```
NL01HEADERXXXX1234
XY002015Y
SID/XX81331911 NOT ON FILE
```

Example of a Response Transmitted When an FBI Pseudo-Pointer is Used in the SID Number Field

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

```
JL01HEADERXXXX01234
XXVSP0000
REJECT ZRS.SID/XX**062056.PUR/A
FOR THE FOLLOWING REASON(S)
   FIELD ERROR SID
END
```

ZRS Inquiry Message Responses Using an FBI UCN

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

```
5L01HEADERXXXX01234
XXVSP0000
FBI/9015174 ON FILE III RECORD IS SINGLE-STATE (OR MULTISTATE)
```

In addition to the above response, the III will transmit the applicable $.A.SSO or $.A.MSO message.

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

```
5L01HEADERXXXX01234
XXVSP0000
FBI/9015174 ON FILE NO SID ON FILE FOR YOUR STATE
```

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

```
NL01HEADERXXXX01234
XXVSP0000
FBI/9015174 NOT ON FILE
```

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

```
2L01HEADERXXXX01234
XXVSP0000
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON FBI/9015174 PUR/A

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

(or)

RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT Casper XX 20120121
END

(or)

RECORD NO LONGER ON FILE - DELETED 20120121
END

(or)

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

ZI Inquiry

The second III administrative inquiry is the ZI message which offers the most information for resolution of discrepancies. A ZI inquiry message shows:

- Whether the III contains a state's SID Number or an FBI pseudo-pointer for state data and the date the SID Number or FBI pseudo-pointer was entered in the III.
- Whether the III record is single-source or multi-source.
- Whether the III record contains a Wanted Person (WP) or a NSOR pointer.
- The IFS and the SEL flag.
- The date the record was established in the III.

- The date the record was last updated.
- Other identifying data such as scars, marks, and tattoos (SMT); DOB; social security number (SOC); miscellaneous numbers (MNU); and alias (AKA).

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

Example:

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

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

*Agencies may use the SID Number in lieu of the FBI UCN. When an agency uses a SID Number, it must be preceded by SID/. Because an FBI pseudo-pointer for state data is not a SID Number, it cannot be used in the SID Field.
**Only Purpose Code A is allowed for ZI inquiry messages. Chapter 3, Section 3.2, of this manual provides additional information about Purpose Code A.

Example Positive Response

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

```
9L01HEADERXXXX01234
XXXYI0000
IDENTIFICATION SEGMENT III RECORD OF FBI/9006600 2013/01/20
ROVER,ROVING R   M B MI DOB/19571201 HGT/507 WGT/140 EYE/BLK HAI/BLK
SMT/SC R ARM SOC/045508551 FPC/UCUCUCUCUCUCUCUCUC
ADDITIONAL IDENTIFIERS -
DOB/19560307 19560720 19560523 19571001 19470101
SOC/045308551
SMT/SC L ARM   TAT UL ARM   SC RF ARM
AKA/ROVER,ROVING   CHIEFLITTLEHORN,TEST   SMITH,JANE   TEST,RECORD
AKA/TEST,THREE III   TEST,TEST TEST
DLU/20101217 DRE/19891028
III FLAGS/C8
XT000004(19891028)   XX0999960A(19891031)   XY0000495X(19891121)
XR00000005(20101217) (IFS/X) (SEL/N) XYSX072056 (19991018)
```

```
XYWP072056 (19980126)

BASED ON FBI NUMBER ONLY

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

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

    A. The date following the FBI/ is the date of the inquiry.

    B. The FPC (Fingerprint Classification)/Field of the Identification Segment III Record will be blank for records created after 07/28/1999. On that date, the Identification Division Automated System database was merged into the III segment of the Integrated Automated Fingerprint Identification System (IAFIS) as the then-primary maintenance provider for the criminal history records of the III. On 09/07/2014, the NGI System replaced the IAFIS.

    C. Only fields containing information will be provided.

    D. The date of the last update (DLU) will change whenever any change is made to any part of the record in the III.

    E. DRE is the date the record was established in the III.

    F. ADDITIONAL IDENTIFIERS contains additional identifiers associated with the record (i.e., DOB, SOC, AKA, SMT).

    G. III FLAGS is a two-character code indicating the type of pointer in the III record. The code indicates, for example, whether the record contains a state SID Number(s), an FBI pseudo-pointer(s), a US pointer for federal arrest(s), or a combination of the three. In addition, the code can indicate whether the record contains one or more state SID Numbers and a WP or NSOR pointer. Codes for this field follow.

Code	Description
08	The record contains an FBI pseudo-pointer for one state.
40	The record contains a state SID pointer for one state.
88	The record contains two or more FBI pseudo-pointers, or one US pointer, or one or more FBI pseudo-pointers and a US pointer.
C0	The record contains a state SID pointer for two or more states.

C8   The record contains a state SID pointer for one or more states and either an FBI pseudo-pointer for one or more states and/or a US pointer, or a SID pointer for one or more states and a WP or NSOR pointer.

H. POINTERS list the SID Number(s) and/or FBI pseudo-pointer(s) in a record and, when applicable, a WP or NSOR (SX) pointer. If a subject's record contains both a WP and a NSOR notice, only the NSOR (SX) pointer will be provided in the ZI inquiry response. The date each III pointer was established will be shown in parentheses following each pointer, including the date of issue for the want and the date the individual was registered as a sexual offender in the NCIC. If a SID Number is modified to an FBI pseudo-pointer or vice versa, the date will change accordingly. The date will not change when a state SID Number is modified from one state SID Number to another, or if an FBI pseudo-pointer is modified from one FBI pseudo-pointer to another. A US pointer with the letters US as the first two characters indicates that the FBI's CJIS Division will provide federal arrest data in response to a record request. A pointer with WP in positions three and four represents Wanted Persons data to be provided by the FBI's CJIS Division. A pointer with SX in positions three and four represents Sexual Offender Registrant data to be provided by the FBI's CJIS Division. A WP pointer consists of the two-character state code followed by WP and the six-character DOB, e.g., NCWP062056. If the WP information is from a federal agency, the two-character state code of the state in which the federal agency is located will be used rather than US. If there is more than one want in the III record, the WP pointer will represent only the first want to be disseminated by the FBI's CJIS Division. A NSOR pointer consists of the two-character state code followed by the letters SX and the six-character DOB, e.g., XXSX120363. If there is more than one NSOR record in the III record, the SX pointer will represent only the first NSOR record that the III disseminated.

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

I. If the inquiry was made by an agency using a SID Number, BASED ON SID NUMBER ONLY will appear in lieu of BASED ON FBI NUMBER ONLY.

J. The caveat THIS RECORD CAN BE USED . . . . indicates the record is for administrative purposes and cannot be disseminated for any other purpose.

K. The last line of the ZI response will be the word END.

Example of a Negative Response

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

```
NL01HEADERXXXX01234
XXDCI0000
FBI/9026285 NOT ON FILE
```

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

ZI Inquiry Message Response to an Inquiry by an Agency Using an FBI UCN When the Record is No Longer in the III Because it has Been Consolidated With Another Record, Deleted, Expunged, or the Subject is Deceased

The III will return a response header with 2L01 as its first four characters in response to an inquiry by agency using an FBI UCN when the record is no longer in the III because it has been consolidated with another record, when the subject of a record is deceased, or a record is deleted or expunged. Inquiries made by an agency with a SID Number will result in an NL01 type response because SID Numbers are retained only for audit (synchronization) purposes.

```
2L01HEADERXXXX01234
XXXYI0000

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

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

(or)

RECORD NO LONGER ON FILE - DECEASED
PER POLICE DEPARTMENT Casper XX 20121201
END

(or)

RECORD NO LONGER ON FILE - DELETED 20121201
END

(or)

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

Status Verification Messages-$.A.SSO AND $.A.MSO Unsolicited Messages

In addition to the positive ZRS response using SID Numbers, the III will transmit the applicable $.A.SSO or $.A.MSO message. The $.A.SSO and $.A.MSO are unsolicited messages the III sends to owning states notifying them their record is single-source or multi-source.

The FBI's CJIS Division uses the term "single-source" to indicate that a particular record has one source or state contributing to the subject's record information. The FBI's CJIS Division uses the term "multi-source" to indicate that the particular record has more than one source contributing to the subject's IdHS information (e.g., more than one state, one state and one federal IdHS record, or one state and a WP notice and/or an NSOR notice.)

$.A.SSO Unsolicited Message—Single-Source Offender Status

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

Message Format:

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

Example:

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

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

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

$.A.MSO Unsolicited Message—Multi-Source Offender Status

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

Message Format:

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

Example:

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

Upon receipt of this message, the state system should automatically change the record's status flag to indicate multi-source. Additional pointers (SID Numbers, FBI UCN, WP, or NSOR) entered into a record already flagged in the III as multi-source will not result in additional $.A.MSO unsolicited messages. The III will transmit this message only on the initial status change. In addition, the III will transmit a $.A.MSO message following a MRS modification accept message to advise of the correct record status. More details on this topic are provided in Chapter 5, Section 5.1, of this manual. For more information concerning status verification of III records, refer to Chapter 4, Section 4.3, of this manual.

Synchronization File Processing Scenarios, Causes, and Solutions

Scenario	Cause	Solution
The SID Number is on the sync file and not on the FBI sync file.	The state may have received only one arrest print for this record and, therefore, no record was established in the III.	• This is not a discrepancy since the state CCH may contain records that are not established at the FBI. • If the state wishes to establish the record in the III, the state should forward the fingerprints to the FBI to establish a III record.
The SID Number is not on the state sync file but is on the FBI sync file.	• Arrest submission was not entered in the state's database; the record may belong to the state or may be another state's arrest; or • A federal arrest or a state system rejected the submission, but it was retained at the FBI.	• The state should verify the presence of the record in its database (based on the name and DOB). The state should contact the BSS CSG at 304-625-5590 to review the information. • The state may request a copy of the fingerprint images from the FBI to establish a record in the state's database, via the BSS CSG or by electronic IRQ. • The state may modify the SID Number in the III or relinquish control of the record to the FBI via the MRS MKE.

Scenario	Cause	Solution
The SID Number is not on the state sync file but is on the FBI sync file.	• The record has been expunged at the state, however, is still active in the III; • The FBI UCN was not entered into the state record; or • The FBI UCN was placed in the incorrect state record.	• The state must verify if it is a true expungement and forward the expungement order to the FBI for processing. • The state should locate the record in its database (based on the SID Number and name) and enter the FBI UCN into the record. • The state should locate the incorrect record in the state system based on the FBI UCN and remove it from that record.
The State Flag Indicator (SFI [S, M, E, C, D, and W]) on the state sync file is not equal to the SFI on the FBI sync file.	• The record status in the III may have changed due to activity since the creation of the sync; or • The state system may have failed to reset the SFI based on the receipt of the SSO/MSO unsolicited message from the III, or the processing of the file maintenance update due to an expungement, consolidation, decease, or deletion by the FBI.	• The state should transmit the ZRS administrative message to receive the current record status. • The state technical staff may need to conduct testing to ensure the state system is processing the SSO/MSO unsolicited message properly. • The state should verify if the record has been consolidated, expunged, deleted, or deceased, and correct in its database.

Scenario	Cause	Solution
The flag value (IFS/SEL) on the state sync file is not equal to the flag value on the FBI sync file.	• The flag value changed since the creation of the sync file; • The state system did not update the value in the III: or • The III did not process the flag value update from the state. • Individually sealed arrests exist in the NGI System.	The state should verify the correct flag status, update its database, if necessary; or update the III via the EHN update MKE. Please note that even when sealed arrests exist in the NGI System, the seal flag will reflect the lowest value unless all arrests are sealed.

III Synchronization Key Points

- MRS can be used to modify the SID Number.
- EHN can be used to set the appropriate IFS or SEL flag when the entire record is sealed.
- ZRS can be used to verify the record status.
- ZI can be used to determine whether the III record is state active or pseudo-pointer, the status flag, date pointer established, and the date of the last update to the identification level of the record.
- DRS can be used to expunge a record.
- An agency must use form FD-1115 to modify the master identifiers (name, DOB, race, and sex) or notify the FBI of a possible consolidation.
- Sex, Race, IFS, and SEL must be an exact match.
- SID Number and FBI UCN must be exact matches.
- SFI reflects the current status of the record at the time the synchronization is done (M, S, D, E, C, or W).
- Unresolved issues will appear on the next synchronization.

An example of Form FD-1115, *Records Modification Form*, can be found in <u>Appendix H</u> of this manual. Agencies should contact the III help desk at 304-625-3652, as needed, for further guidance processing the III synchronization.