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TECHNICAL AND OPERATIONAL UPDATE (TOU) 08-1

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SECTION 1 -- MESSAGE TO CJIS SYSTEMS OFFICERS

In August 2004, the CJIS Advisory Policy Board recommended the development of a new Interstate Identification Index (III) Message Key (MKE) for the submission of and response to disposition information electronically transmitted to the FBI's Fingerprint Identification Records System (FIRS). This change will enhance the FBI's criminal history record repository and improve information sharing by enabling the State Identification Bureaus (SIBs) to update the national repository in a more efficient and timely manner, thus providing criminal and noncriminal justice agencies with more complete information.

Information in this update is essential for a state to program its system to transmit and receive the new III messages.

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Users are reminded that any questions concerning the *NCIC 2000 Operating Manual*, the *NCIC 2000 Code Manual*, or the distribution of TOUs should be directed to the Crime Statistics Management Unit at (304) 625-4995.

TOUs are also available via the Internet on the Law Enforcement Online (LEO) at www.leo.gov/lesig/cjis/cjis_pub/programs/ncictous.html. Users with questions concerning access to the LEO should contact the LEO Program Office at (888) 334-4536 or via e-mail at <leoprogramoffice@leo.gov>.

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SECTION 2 -- SYSTEM CHANGES

DEVELOPMENT OF A NEW MESSAGE KEY (MKE) TO THE INTERSTATE IDENTIFICATION INDEX (III) PROGRAM

Background

On July 28, 1999, the Integrated Automated Fingerprint Identification System (IAFIS) became operational. This state-of-the-art biometric-based identification system automated the existing tenprint workflow and manual processes. With the implementation of the IAFIS, the FBI has a fully automated fingerprint identification system that provides a 2-hour turnaround time for electronic criminal tenprint submissions and a 24-hour turnaround time for electronic civil submissions. In contrast, dispositions continue to be processed by manual data entry procedures or via Machine Readable Data.

The Next Generation Identification (NGI) Disposition Reporting Improvements (DRI) initiative will enable more efficient updates and provide a more complete criminal history repository. Anticipated increases in fingerprint receipts and the supporting disposition information prompted the development of a more streamlined method to transmit dispositions. The DRI will enhance the FIRS while improving information sharing by allowing the criminal history repository to be updated in a more efficient and timely manner, thus providing criminal and noncriminal justice agencies with more complete information.

System Changes

- The development of a new III Disposition (DSP) MKE will allow individual states the capability of updating the CJIS Division's criminal history repository with disposition data.
- The III-DSP-Request (REQ) will enable states to add, replace, append, or delete disposition data to an existing state-maintained record.
- The 'DSP' will be the MKE used in the III-DSP-REQ message.
- Software changes need to be made in the state system to enable the electronic submission of dispositions and receipt of accept/reject messages related to the submission. A III participating state may only post disposition data to a III record that contains its III state pointer.
- The new III-DSP-REQ will accept up to 10 Disposition Sets (DSP-SET) which consists of one Court Count (CCT), one Court Offense Numeric (CON), one Court Offense Literal (COL), and one Court Provision Literal (CPL) per Date of Arrest (DOA). If more than 10 DSP-SETs are needed, a new III-DSP-REQ with a CCT value greater than the last CCT value within the previous message needs to be submitted, (i.e., the second III-DSP-REQ will start with CCT 11).

- The Disposition Maintenance Indicator (DMI) is a mandatory field within the III-DSP-REQ used to specify the type of maintenance that the III segment of the IAFIS should perform on a Subject Criminal History (SCH) record. A default value of 'A' will be entered when the DMI Field is not populated with a valid value. DMI values are defined in the DMI Code Table on page 2-5 of this document.
- The Identification for Firearms Sales (IFS) flag is a mandatory field within the new III-DSP-REQ. The IFS value contained within the III-DSP-REQ will be displayed within the court segment of the SCH record. A default value of 'X' will be entered when the IFS field is not populated with a valid value. IFS values are defined in the IFS DISP Code Table on page 2-5 of this document.
- The Controlling Agency Identifier (CRI) is a mandatory field for the III-DSP-REQ.
- The CON is a mandatory field for the III-DSP-REQ. A default value of 7399 will be entered when the CON field is not populated with a valid value.
- The III-DSP-REQ that encounters a processing error prior to the actual posting of the disposition will return Automatic Rejects (JL01) to the III participant.
- DSP Rejects will be formatted utilizing the Multi-Line Reject (MLR) Codes located in Appendix C of the *III/NFF Technical Operations Manual*.
- The III-DSP-REQ that requires special processing and is eventually rejected will be returned to the III participant via the U.S. Postal Service until the second phase of the DRI initiative is implemented.

Interface Messages

III DSP REQUEST

Purpose:

To be used by III participating states to add disposition data to an existing arrest, to replace existing disposition data, to append to existing disposition data, or to delete disposition data on an existing arrest.

Contents of DSP containing a single Disposition Set:

```
2L01HEADERXXXX01234.DSP.MD004445Y.FBI/9015174.SID/MD81331911.  
CRI/MD1012600.DMI/A.DOA/20070131.IFS/X.CCT/01.CON/7399.COL/ASSAULT.  
CPL/GUILTY 15 YEARS (EOT)
```

- The new III-DSP-REQ will accept up to 10 occurrences of the DSP-SET per DOA. Each disposition begins with the CCT Message Field Code (MFC) followed by the disposition number. If more than 10 DSP-SETs are needed, a new III-DSP-REQ with a CCT value greater than the last occurrence within the previous message needs to be submitted.

Contents of DSP containing Multiple Disposition Sets:

2L01HEADERXXXX01234.DSP.MD004445Y.FBI/9015174.SID/MD81331911.
 CRI/MD1012600.DMI/A.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 (EOT)

III Message Format:

2L01HEADERXXXX01234 (19 characters).**DSP** (3 characters).**MD004445Y** (9 characters).**FBI/9015174** (1-9 characters).**SID/MD81331911** (3-10 characters).**CRI/MD1012600** (9 characters).**DMI/A** (0-1 character).**DOA/20070131** (8 characters).**IFS/X** (0-1 character).**1[CCT/01** (1-2 characters).**CON/7399** (0-4 characters).**COL/Assault** (1-300 characters).**CPL/Guilty 15 years** (1-300 characters)] **10**

| MESSAGE SEGMENT | FIELD | MFC |
|---------------------|------------------------------------|---------|
| 2L01HEADERXXXX01234 | Header | -- |
| DSP | Message Key | -- |
| MD004445Y | Designated State Agency Identifier | -- |
| 9015174 | FBI Number | FBI |
| MD81331911 | State Identification Number (SID) | SID |
| MD1012600 | Controlling Agency Identifier | CRI |
| DMI/A | Disposition Maintenance Indicator | DMI |
| DOA/20070131 | Date of Arrest | DOA |
| IFS/X | IFS | IFS |
| DSP-SET | Disposition Set (1-10 occurrences) | DSP-SET |
| 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 |

- Because III uses a period as a field delimiter, it may not be used within the COL or the CPL.
- When both primary identifiers, FBI and SID Numbers, are given within the III-DSP-REQ, the FBI Number will be the primary identifier used.
- When the Arrest Charge has been amended to, changed to, or reduced to, the COL must include the original charge (i.e., Grand Larceny reduced to Petit Theft).
- When utilizing the DMI/D (append), the CPL is the only field that will be updated in the III/FBI SCH record.

Conditions:

1. A literal data element name followed by a slash is an MFC. It is followed by the value of the data element named. A pair consisting of a literal data element name and value must be separated from other pairs by a period.
2. The MFCs contained in the message must be in the same order as depicted and are all required within the III Message Format.
3. For parsing purposes, the IFS value must always be followed by the DSP-SET values (CCT/CON/COL/CPL).
4. The element MKE must be 'DSP.'
5. Each DSP-SET must start with a unique CCT.
6. When applicable, if the following mandatory fields are left blank in the III-DSP-REQ, the III will insert the default value for each element:
 - DMI – 'A'
 - IFS – 'X'
 - CON – '7399'

The table below defines the four DMI codes that the III participating states will utilize when submitting a III-DSP-REQ:

DMI CODE TABLE

| EXTERNAL CODE | LITERAL | DESCRIPTION |
|----------------------|----------------|--|
| A | Add | Add disposition data from incoming request to a specified DOA. |
| D | Append | Append disposition data from an incoming request to existing disposition data on a specified DOA. |
| R | Replace | Replace existing disposition data for a specified DOA with disposition data from the incoming request. |
| X | Delete | Delete existing disposition data for specified DOA. |

The table below defines the three IFS codes that the III IFS participating states will utilize when submitting a III-DSP-REQ:

IFS DISP CODE TABLE

| IFS DISP CODE | DEFINITION |
|----------------------|--|
| D | Used when the subject's record contains one or more disqualifying conviction(s), e.g., a felony or misdemeanor crime of domestic violence. |
| X | Used when the subject's record contains a pending court disposition or when the status of the record is unknown. (This status is also used in cases when a criminal history record has not been reviewed to determine if one of the other two IFS status flags applies.) |
| C | Used when the subject's record contains no disqualifying conviction (court action). |

III DSP ACCEPT RESPONSE

Purpose:

The III DSP Accept Response Message is sent to the III participant as an acknowledgement of receipt or as a notification that the III-DSP-REQ has been deferred for special processing.

Contents when both FBI and SID Numbers are sent within the III DSP message:

KL01HEADERXXXX01234
MD004445Y
ACCEPT DSP FOR FNU/9015174

ALL MFCs SUPPLIED IN THE III DSP REQUEST MAY NOT NECESSITATE
UPDATES TO THE III SUBJECT CRIMINAL HISTORY RECORD.

Contents when only the FBI Number is sent within the III DSP message:

KL01HEADERXXXX01234
MD004445Y
ACCEPT DSP FOR FNU/9015174

ALL MFCs SUPPLIED IN THE III DSP REQUEST MAY NOT NECESSITATE
UPDATES TO THE III SUBJECT CRIMINAL HISTORY RECORD.

Contents when only the SID Number is sent within the III DSP message:

KL01HEADERXXXX01234
MD004445Y
ACCEPT DSP FOR SID/MD81331911

ALL MFCs SUPPLIED IN THE III DSP REQUEST MAY NOT NECESSITATE
UPDATES TO THE III SUBJECT CRIMINAL HISTORY RECORD.

Contents when the III DSP message requires special processing:

KL01HEADERXXXX01234
MD004445Y
ACCEPT DSP FOR FNU/9015174 or SID/MD81331911

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.

III DSP REJECT RESPONSE

Purpose:

The III DSP Reject Response Message is sent to the III participant as a notification of rejection containing the reason for rejection.

Contents when the III DSP message is rejected:

```
JL01HEADERXXXX01234
MD0044445Y
REJECT DSP.MD0044445Y.FBI/9015174.SID/MD81331911.CRI/MD1012600.DMI/A.
DOA/20070131.IFS/X.CCT/01.CON/7399.COL/ASSAULT.CPL/GUILTY 15 YEARS
FOR THE FOLLOWING REASON(S)
    RECORD NO LONGER ON FILE - EXPUNGED (20070130)
```