



**Next Generation Identification (NGI)**

**Disposition Reporting Improvements  
Implementation Guide**

Final Version 1.0  
August 11, 2008



CJIS Document Identifier Number: NGI-DOC-03069-1.0

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## EXECUTIVE SUMMARY

The Federal Bureau of Investigation's (FBI) Criminal Justice Information Services (CJIS) Division Major Program Implementation (MPI) Unit has developed this Disposition Reporting Improvement (DRI) Implementation Guide to assist current and new state and local users with implementing new disposition submission capabilities under the Next Generation Identification (NGI) Program.

The CJIS Division operates and maintains the current Integrated Automated Fingerprint Identification System (IAFIS), which became the world's largest person-centric biometric database when implemented in July 1999. Since then, advancements in technology and the changing business needs of the IAFIS customers have necessitated the next generation of identification services. To further advance its biometric identification services, the CJIS Division, with guidance from its user community, established the vision for the NGI Program.

The NGI System will be a gradual incremental replacement of the current IAFIS that provides new functionality and improves upon current capabilities. The IAFIS technology upgrade accommodates increased information-processing and sharing demands from local, state, tribal, federal and international agencies. The NGI capabilities will be completed over a multi-year time span and will include incremental implementations. Upon completion, the NGI Program will offer state-of-the-art biometric identification services that will serve as a platform for multimodal functionality.

This NGI vision is to provide biometric services to support the FBI's mission within a service-oriented framework, providing the FBI with the flexibility to respond to changing requirements, and scalability to meet increasing demand and new identification programs.

NGI is comprised of six major capabilities:

- Advanced Fingerprint Identification Technology (AFIT)
- Quality Check Automation (QCA) Phase III
- Interstate Photo System (IPS) Enhancements
- Disposition Reporting Improvements (DRI)
- Enhanced IAFIS Repository (EIR)
- National Palm Print System (NPPS)

Each capability will provide new or improved interoperability functionality and, in conjunction with the other capabilities, support the FBI in better meeting its goals.

In order to successfully meet these goals, improvements are needed to increase the availability of dispositions in the Subject Criminal History record (SCH). Numerous entities are affected by the lack of disposition information. The FBI Strategic Plan 2004-2009 highlighted the gravity of this situation in saying:

*A critical external issue that negatively impacts the CJIS is Criminal History Record (CHR) accuracy. Half of the CHRs do not have a final disposition (e.g., conviction or dismissal). This impacts the quality of information provided through the fingerprint identification, the National Crime Information Center, and the National Instant Criminal Background Check System (NICS) services. In the case of NICS, it consumes significant resources to retrieve dispositions in*

*order to provide gun dealers information on an individual's qualification to purchase a gun.*

This Implementation Guide provides a comprehensive description of all of the methods for state and local justice agencies to report dispositions to the CJIS Division. It includes both the new and expanded NGI services as well as the legacy methodologies. The new and expanded NGI methods are:

- Submission and maintenance of dispositions on Compact Disc-Read Only Memory (CD-R) or, in the future, Digital Versatile Disc Recordable (DVD-R)
- Submission and maintenance of dispositions using an Interstate Identification Index (III) message key
- Submission and maintenance of dispositions using an Electronic Biometric Transmission Specification (EBTS) Type of Transaction (TOT)

The Implementation Guide is intended to assist state and local agency users in understanding each of the methods, and present the requirements and potential application for each of the methods. It also provides the information necessary for users to select which method(s) are most appropriate for them.

Agencies may use more than one method to report dispositions. For example, a state could use the III message key to report new dispositions as they are posted to their state system and Machine Readable Data (MRD) to report historical dispositions which have been previously posted to their state system. If multiple methods are used to report dispositions, agencies will need to adopt procedures to ensure each disposition is reported only once.

The technical specifications for each method will be contained in the EBTS, the National Crime Information Center (NCIC) 2000 Operating Manual and Technical and Operational Updates (TOU), or the Disposition Submission via MRD Manual when they are available. This Implementation Guide provides the appropriate references to those documents for each method.

NGI services are being implemented incrementally over a multi-year period. This Implementation Guide will provide estimates as to when future services will be available and will be periodically updated. The most current implementation schedule is available on the NGI Program web site, <https://www.leo.gov/http://leowcs.leopriv.gov/lesig.allsig/shtml> . It is the intent of the NGI Program to provide implementation guidance and specifications for services in advance of their availability for planning purposes.

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# 1 INTRODUCTION

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## 1.1 Overview

This Implementation Guide provides a comprehensive description of all of the methods for state and local justice agencies to report dispositions to the FBI CJIS Division. It includes both the new and expanded DRI capabilities as well as the legacy methodologies. This Implementation Guide is intended to assist users in understanding each disposition reporting and maintenance method and to provide the information necessary for users to select which method(s) are most appropriate for them. Agencies may use any or all methods for which they meet the requirements. The requirements for each method are presented in the section titled Participation Requirements for each of the reporting methods.

The DRI capabilities provide a variety of new and expanded options to facilitate the submission of disposition data and includes new functionality to allow the maintenance of disposition data previously posted to a SCH record.

Current submissions of dispositions are limited to:

- Magnetic tape (MRD)
- Paper forms (e.g., R-84 Final Disposition Report or Court Order)

Under the DRI, submissions of dispositions are expanded to include:

- The MRD using CD-R or potentially, in the future, DVD-R
- A III Message Key, III-DSP-REQ (III Disposition Submission Request)
- Non-fingerprint submissions using an EBTS TOT (to be implemented in the future)
- Fingerprint submissions using an EBTS TOT (to be implemented in the future)

Under the DRI, new capabilities to maintain previously submitted dispositions are provided:

- Add disposition data to an existing arrest
- Append disposition data to existing disposition data
- Replace existing disposition data
- Delete disposition data

Maintenance of dispositions is possible through:

- The MRD using CD-R or potentially, in the future, DVD-R
- A III Message Key, III-DSP-REQ
- Non-fingerprint submissions through an EBTS TOT

## 1.2 Background

### 1.2.1 Dispositions Defined

A SCH record includes an individual's identifiers (biographical information and fingerprints), arrests and subsequent dispositions. **Each criminal arrest for which the CJIS Division has an arrest fingerprint submission should have a disposition.**

The FBI defines a disposition as an action regarded by the criminal or juvenile justice system to be final as a result of a committed offense. A disposition states that arrest charge(s) have been modified or dropped, or it reports the findings of a court. Dispositions of offenses can be given at the time of arrest, prior to a court appearance, during the court session, or by a custody, supervisory, or parole agency in the criminal justice system.

As a result of the NICS Amendment Improvements Act of 2007, the FBI CJIS Division also encourages the reporting of indictments. This information, along with the Identification for Firearms Sales (IFFS) flag, will be used by NICS to determine firearms transfer eligibility. Agencies must still report the final disposition when it occurs.

All dispositions reported by the contributor are treated equally and are captured in the court disposition text area of the SCH record. The CJIS Division's records consist of fingerprint submissions and related data. **The disposition must relate to those offenses enumerated on the original fingerprint submission maintained by the CJIS Division.** The charges for the disposition may be different than those on the arrest due to plea bargaining, changes to charges as a result of further investigation, or other factors.

A disposition consists of the information necessary to identify the record subject, the specific arrest, the IFFS flag and the following four elements:

**Table 1-1 Disposition Fields**

Field	Description
Court Count	A sequential number assigned to each court count.
Court Offense Numeric (CON)	A four-digit code assigned to court counts to identify the basic offense committed.
Court Offense Literal (COL)	A free text description of a charge from a court or any charge regarded by the criminal justice system to be final. When a charge has been amended to, changed to, or reduced to, the original arrest charge must be included in the COL field. For example, grand larceny reduced to shoplifting.
Court Provision Literal (CPL)	Free text disposition information and/or sentence provisions, including the following: Plead Guilty (PG), Confinement (CMT), Probation (PRO), Suspended Sentence (SUS), Court Fine (CFN), and Dismissed or Acquitted; should be placed in this field.

**In every instance where criminal arrest fingerprints have been submitted to the FBI, it is imperative that the final disposition be submitted to maintain a complete and accurate SCH record.**

## 1.2.2 Importance of Dispositions

A complete SCH record is important to law enforcement for investigative purposes. A key benefit in accurate dispositions is having up-to-date records of convicted felons. A complete SCH record is also important for noncriminal justice background checks for employment, licensing, adoption, citizenship and firearms purchases. In any of these cases, if a disposition is not present on the applicant's record, this could prevent or delay finalization of these proceedings.

Federal law, Section 922 (g) or (n) of Title 18, United States Code, prohibits firearms possession by or transfer to prohibited persons including those who are under indictment for or convicted of a crime punishable by imprisonment for more than one year. The CJIS Division encourages the reporting of indictments as an interim disposition. The Brady Act requires that a background check be conducted using the FBI's NICS to identify potential purchasers who are prohibited from purchasing firearms. To date, over 83 million inquiries have been made into the NICS. Without complete criminal history information, untimely delays may occur in approving eligible purchases and a person who is ineligible to purchase a firearm may be "conditionally" approved to obtain the firearm.

The National Child Protection Act (NCPA), as amended by the Violent Crime Control and Law Enforcement Act of 1994 (Crime Control Act), encouraged states to have in effect national background check procedures that enable a qualified entity to determine whether an individual applicant is fit to care for the safety and well-being of children, the elderly, or individuals with disabilities. The procedures would permit a "qualified entity" to ask an authorized state agency to request a nationwide (i.e., FBI) background check on an applicant provider. The Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today (PROTECT) Act authorizes noncriminal justice agencies to determine whether the SCH record information received in response to a fingerprint check renders a prospective volunteer unfit to provide care to children, the elderly, or individuals with disabilities. It is imperative that the SCH record repository contain complete and accurate disposition information so that these agencies can accurately process these inquiries.

## 1.2.3 Identification Numbers

A variety of identification numbers can be used in some of the new disposition reporting methods for identifying the appropriate SCH record. They include:

- FBI Number – a unique number assigned by the CJIS Division to every subject with a criminal record in the IAFIS
- State Identification Number (SID) – a unique number assigned by each state to a subject within its state repository
- Universal Control Number (UCN) – a unique identifying number assigned by the FBI to an identity.

## **1.2.4 Disposition Related Systems and Programs**

The FBI has a family of automated systems that support its capability to provide identification, verification, information, investigation, notification, and data management services to its users. The CJIS Division System of Services (SoS), located in Clarksburg, West Virginia, includes the IAFIS, the III and the NICS. The SoS concept is to integrate the CJIS Division's systems and services into a highly effective, robust, accurate, and fast information system that is capable of meeting the many needs of the local, state, tribal, federal, and international law enforcement communities.

The following systems are related to disposition reporting and maintenance to the FBI CJIS Division or are major users of the FBI SCH record. A brief description of each is presented below.

### **1.2.4.1 Integrated Automated Fingerprint Identification System (IAFIS)**

The IAFIS provides an up-to-date, integrated system to respond to the needs of the FBI and the law enforcement community. It houses the largest collection of digital representations of fingerprint images, features from the digital fingerprint images, and criminal history information in the world. Collectively, this data comprises the biometrics, content, format, and units of measurement for the electronic exchange of information that may be used in the fingerprint identification of a subject. The current IAFIS, implemented in July 1999, allows the standardized electronic submission of fingerprint identification data to the FBI.

### **1.2.4.2 Next Generation Identification (NGI)**

The NGI System will be a gradual incremental replacement of the current IAFIS that provides new functionality and improves upon current capabilities. The IAFIS technology upgrade accommodates increased information-processing and sharing demands from local, state, tribal, federal and international agencies. The NGI capabilities will be completed over a multi-year time span and will include incremental implementations. Upon completion, the NGI Program will offer state-of-the-art biometric identification services and compile core capabilities that will serve as a platform for multimodal functionality.

The NGI Program is comprised of six major capabilities:

- Advanced Fingerprint Identification Technology (AFIT)
- Quality Check Automation (QCA) Phase III
- Interstate Photo System (IPS) Enhancements
- Disposition Reporting Improvements (DRI)
- Enhanced IAFIS Repository (EIR)
- National Palm Print System (NPPS)

Each capability will provide new or improved interoperability functionality and, in conjunction with the other capabilities, support the FBI in better meeting its mission goals.

#### **1.2.4.3 Interstate Identification Index (III) Program**

The III Program provides for the decentralized interstate exchange of criminal history record information and functions as part of the CJIS Division's IAFIS. All 50 states and the District of Columbia (DC) will be III participants by the end of 2008. The III contains records for over 60,000,000 persons.

Each criminal history record is supported by a criminal fingerprint submission. In the III participating states/territories and DC, the arresting agency submits fingerprint images to the State Identification Bureau (SIB) for processing and assignment of a SID. The SIB updates its state file and sends the arrest information to the FBI. If no prior FBI record is on file, the FBI establishes a new record in the III and creates an index of the subject's descriptors.

When the FBI receives an online request for a record supported by a III participating state, the III automatically sends a message to the participating state's computer system. The state responds directly to the requesting agency over Nlets - the International Justice & Public Safety Network.

The CJIS Division responds to requests for records for federal and foreign offenders; for persons arrested in non-III states, and U.S. Territories; and for criminal history record information that III and National Fingerprint File (NFF) states are unable to support. For fingerprint submissions, the CJIS Division provides records from states that do not participate in the NFF Program; records maintained by NFF Program participants are provided by the respective NFF states.

#### **III participating states must continue to report dispositions to the FBI CJIS Division.**

#### **1.2.4.4 National Fingerprint File (NFF) Program**

When the III concept was adopted to decentralize criminal history record keeping in 1978, the NFF Program was the concept's ultimate goal. When fully implemented, the NFF will be a decentralized system that will replace the FBI's record keeping responsibility for state offenders by making state repositories primarily responsible for record dissemination and maintenance. An NFF state submits to the FBI a full set of fingerprints and descriptive data for new offenders at the state level to be used for identification and record establishment purposes at the federal level. Arrest fingerprint images and related disposition and expungement documents for subsequent arrests are used by the state to update its own records; only those fingerprint images that a state is unable to identify are forwarded to the FBI. Accordingly, state repositories will become the only sources of state criminal history records including dispositions for these arrests, for both criminal and authorized noncriminal justice purposes.

When a state begins participating in the NFF Program, the records indexed in the III with the NFF state's SID become the state's NFF records. An NFF state may take control of its records that are supported by the CJIS Division if the state can support, with fingerprints, all the arrest cycles in the FBI record.

**For those records for which it has assumed responsibility, the state is no longer required to submit to the CJIS Division any subsequent arrest tenprints,**

**dispositions, or expungements for these records — the state assumes responsibility for the information and must enter the data into its own systems. The NFF state is responsible for submitting CPI (Criminal Print Ident) messages to CJIS in able to determine if any wants, warrants or SOR (Sexual Offender Registry) entries are present in the FBI database. The NFF state can use the FIS (Fingerprint Image Submission) TOT to submit improved fingerprint images. However, the state should continue to send dispositions to the FBI for its FBI-maintained records.**

#### **1.2.4.5 CJIS Wide Area Network (WAN)**

The CJIS WAN connects local, state, federal and international law enforcement as well as the various Department of Defense (DoD) agencies to the FBI CJIS systems. The CJIS WAN is a collection of virtual private network (VPN) links and near point-to-point T-1 and higher class data lines connecting the FBI CJIS Data Center in West Virginia to selected points throughout the United States.

#### **1.2.4.6 National Instant Criminal Background Check System (NICS)**

The NICS was established for Federal Firearms Licensees (FFLs) and Point of Contact (POC) States to contact by telephone, or other electronic means, for information to be supplied immediately on whether the transfer of a firearm would be in violation of Section 922 (g) or (n) of Title 18, United States Code, or state law.

#### **1.2.4.7 The International Justice & Public Safety Network**

The International Justice & Public Safety Network, provides two basic capabilities to its users. First, it is an international, computer-based message switching system that links together state, local and federal law enforcement and justice agencies for the purpose of information exchange. Second, it provides information services support for a growing number of justice related applications.

#### **1.2.4.8 Law Enforcement Online (LEO)**

The LEO is a national interactive computer communications system and information service, an Intranet exclusively for the law enforcement community. It is a user-friendly service which can be accessed by any approved employee of a duly constituted local, state, or federal law enforcement agency, or approved member of an authorized law enforcement special interest group. The LEO is intended to provide a state-of-the-art communication mechanism to link all levels of law enforcement throughout the United States. The LEO may be used as a vehicle to educate officers on the best technologies and practices in all areas of law enforcement.

The LEO also contains the *National Crime Information Center 2000 Operating Manual* and the *National Crime Information Center 2000 Code Manual*. For assistance in accessing LEO, contact [www.helpdesk@leo.gov](mailto:www.helpdesk@leo.gov) or call 888/334-4536.

#### **1.2.4.9 National Crime Prevention and Privacy Compact Act**

The National Crime Prevention and Privacy Compact Act (Compact) was signed into law on October 9, 1998. The Compact facilitates electronic information sharing among the Federal Government and the states and permits the exchange of criminal history records

for noncriminal justice purposes when authorized by federal or state law. A state must ratify the Compact prior to becoming an NFF participant. As more states join the Compact and the NFF Program grows, a greater uniformity and decentralization in the sharing of noncriminal justice information will occur.

### **1.3 Purpose**

The purpose of this DRI Implementation Guide is to present all of the methods to report dispositions to the FBI CJIS Division for inclusion in the SCH record. This Implementation Guide is intended to assist users in understanding each of the methods to report and maintain dispositions and to provide the information necessary for users to select which method(s) are most appropriate for them.

Currently, the guide is focused on state and local agencies. Future revisions of the DRI Implementation Guide will address the DC, U.S. Territories and possessions, and tribal and federal agencies.

### **1.4 Assumptions and Constraints**

This Implementation Guide is not designed to provide the technical specifications necessary to implement a specific disposition reporting/maintenance method. The detailed specifications are referenced within this guide to the EBTS, the NCIC 2000 Operating Manual, TOUs, the MRD or paper reporting specifications where appropriate.

### **1.5 Document Organization**

Section 1 provides background on disposition reporting and its importance. Section 2 provides an overview to the new disposition reporting methodologies. Section 3 discusses available funding and grant opportunities. Section 4 provides an overview to available technical assistance. Section 5 provides a guide to disposition reporting using the MRD process. Section 6 provides a guide to disposition reporting using the III message key. Section 7 provides a guide to disposition reporting using an EBTS TOT. Section 8 provides a guide to disposition reporting using the paper R-84, Final Disposition Report, forms.

### **1.6 Reference Documents**

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Federal Bureau of Investigation, July 2, 2007, *Updates to the Machine Readable Data (MRD) Specifications*, CJIS Information Letter 07-4, Available: [https://leo.gov/http://leowcs.leopriv.gov/lesig/cjis/general\\_information/newsletters/information\\_letter/20070702\\_infoletter.pdf](https://leo.gov/http://leowcs.leopriv.gov/lesig/cjis/general_information/newsletters/information_letter/20070702_infoletter.pdf).

*National Crime Prevention and Privacy Compact (Compact) Act of 1998*, Public Law 105-251, October 1998.

*Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003*, Public Law 108-21, April 2003.

*Privacy Act of 1974*, 5 U.S. Code 552a, Public Law 93-579, December 1974.

## 2 NGI DRI BUSINESS FUNCTIONALITY

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NGI DRI provides three major enhancements for submitting and maintaining dispositions. These enhancements are:

- Modernization of the MRD method

The MRD method will be modernized by making use of new online options and new media options. In addition to SIBs, local agencies will also be able to report dispositions using these capabilities with the approval of the SIB. A formal Memorandum of Understanding (MOU) between the local agency and their SIB will be required.

Modernization of the MRD method encourages state agencies to submit dispositions, which ensures a more robust criminal history repository.

- Establishment of a III message key (MKE) for disposition reporting and disposition maintenance of records in III for which the state has assumed responsibility.

The III message key, III-DSP-REQ, provides the states with the capability to update the FBI's SCH record with disposition data. It also enables states to add, replace, append, or delete disposition data to an existing state maintained record.

- Capabilities to report and maintain dispositions using the EBTS defined transactions over the CJIS WAN.

Disposition information submitted electronically into the IAFIS via the CJIS WAN provides end users with the ability to submit disposition information with or without fingerprints.

### 2.1 Disposition Submissions

Dispositions may be submitted electronically using:

- The MRD method
- The III-DSP-REQ
- The EBTS TOT

Some of these methods are restricted to particular users depending on whether or not they are III participants, and to the records over which the state has taken control.

**Table 2-1 Disposition Submission Summary**

Method	Available	Who May Use	Records
MRD - Tape	Available until Sept 2008	Any state  Local agency with MOU (see Section 2.4)	Any record at the FBI

Method	Available	Who May Use	Records
MRD – CD-R	Current	Any state  Local agency with MOU (see Section 2.4)	Any record at the FBI
MRD – DVD-R	TBD	Any state  Local agency with MOU (see Section 2.4)	Any record at the FBI
III Message Key – III-DSP-REQ	June 1, 2008	III participating state	III records controlled by State
EBTS TOT (with fingerprints)	TBD	SIB	Any record at the FBI, or may create or establish an FBI record
EBTS TOT (without fingerprints)	TBD	SIB	Any record at the FBI

The following table provides a summary of the different methods of electronically submitting dispositions for arrest cycles without dispositions.

**Table 2-2 Overview of Disposition Submission Methodologies**

Method	Submission Path	Functionality	Bulk	Finger - prints	Required Fields to Establish Identity	Required Fields to Match Arrest Cycle
MRD	Tape	Modified	Yes	No	FBI Number	Date of Arrest ORI
MRD	CD-R / DVD-R	New	Yes	No	FBI Number	Date of Arrest ORI
III-DSP-REQ	NCIC	New	No	No	FBI Number or SID	Date of Arrest ORI
EBTS TOT	CJIS WAN	New	No	Ten-print rolled or flat required	TBD	TBD
EBTS TOT	CJIS WAN	New	No	No	TBD	TBD

## 2.2 Disposition Maintenance

Disposition maintenance requests may be submitted electronically using:

- The MRD method
- The III-DSP-REQ
- The EBTS TOT

Some of these methods are restricted to particular users depending on whether or not they are III participants, and to the records over which the state has taken control.

**Table 2-3 Disposition Maintenance Summary**

Method	Available	Who May Use	Records
III-DSP-REQ	June 1, 2008	III Participant	III records controlled by State
EBTS TOT (without fingerprints)	TBD	SIB	Any record at the FBI

The following table provides a summary of the different methods of electronically submitting disposition maintenance requests for arrest cycles with dispositions.

**Table 2-4 Overview of Disposition Maintenance Methodologies**

Method	Functionality	Bulk	Fingerprints	Required Fields to Establish Identity	Required Fields to Match Arrest Cycle
III-DSP-REQ	New	No	No	Required: FBI Number or SID	Date of Arrest ORI
EBTS TOT	New	No	No	TBD	TBD

## 2.3 Error Processing/Conflict Resolution

Dispositions received by the FBI, regardless of the submission method, may result in an error condition and not be posted to a SCH record. Errors due to invalid values for a field will result in a reject of the submission.

Other errors can occur for many reasons. The most common are:

- Failure to match an existing SCH record
- Failure to match an existing arrest within a SCH record
- Multiple DOAs on file
- Disposition data already exists
- ORI does not match Agency Identifier in SCH record

Dispositions which fail to post to a SCH record may be subject to manual processing by FBI CJIS staff for Conflict Resolution in an attempt to resolve the condition or be returned to the submitter. As part of the Conflict Resolution process, FBI CJIS staff will

review the disposition on file and the current disposition. This may result in the current disposition being posted (e.g., on file disposition reflects an indictment and the current disposition is a final disposition of the convicted). Rejected dispositions will include the reason for the rejection. FBI CJIS staff will provide assistance to agencies to reduce error rates. For assistance contact the FBI CJIS Division at 304-625-5590.

## **2.4 Establishing an MOU**

Local agencies wishing to use the MRD method to submit dispositions directly to the CJIS Division must establish an MOU before they may participate in the MRD process. The MOU is an agreement between the local agency and the SIB of their state.

Key provisions to be included in an MOU are:

- That fingerprints were used to establish the FBI record (FBI number or other identifier). That only specific fingerprint-based identifiers will be for allowed for submissions via the MRD
- The SIB has agreed to allow the local agency to submit dispositions directly to the CJIS Division using the MRD process
- The MOU may specify the records encompassed by the MOU (e.g., dispositions for arrests prior to January 1, 2000)
- The local agency will only submit dispositions to authorized records
- The local agency will not submit federal dispositions
- The local agency will only submit indictments and final dispositions

To start the process of establishing an MOU for MRD submission, a local agency should contact their SIB or the CJIS Division (see Section 4).

The FBI will maintain a copy of the MOU between the local agency and the SIB.

### **3 FUNDING/GRANT OPPORTUNITIES**

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Federal grant funds may be available to assist state and local agencies improving their disposition availability and reporting to the FBI CJIS. Each federal grant program has its own areas eligible for funding and priorities. State and local agencies interested in pursuing grant funding should contact their appropriate state agency or the federal agency responsible for the grant program.

Major federal grant programs which may be used for disposition reporting improvements include:

- National Criminal History Improvement Program (NCHIP)  
(<http://www.ojp.usdoj.gov/bjs/pub/html/nchip08sol.htm>)
- Tribal Criminal History Record Improvement Program (T-CHRIP)  
(<http://www.ojp.usdoj.gov/bjs/pub/pdf/tchrip08sol.pdf>)
- The Edward Byrne Memorial Justice Assistance Grant (JAG) Program  
(<http://www.ojp.usdoj.gov/BJA/grant/08JAGStateSol.pdf>)
- STOP Violence Against Women Formula Grant Program  
([http://www.ovw.usdoj.gov/stop\\_grant\\_desc.htm](http://www.ovw.usdoj.gov/stop_grant_desc.htm))
- Grants to Reduce Violent Crimes Against Women on Campus  
([http://www.ovw.usdoj.gov/campus\\_desc.htm](http://www.ovw.usdoj.gov/campus_desc.htm))

Community Oriented Policing Service (COPS)  
(<http://www.cops.usdoj.gov/Default.asp?Item=52>)

Potential federal grant program that may be appropriated for disposition reporting improvements:

- The NICS Improvement Amendments Act of 2007, H.R.2640

#### **3.1 National Criminal History Improvement Program (NCHIP)**

NCHIP provides:

- Direct funding to the States to improve the quality, timeliness and immediate accessibility of criminal history and related records.
- Technical assistance to the States through an ongoing program incorporating surveys, evaluations, national forums for considering privacy issues and strategies, and direct guidance to States.

This assistance is designed to promote participation in and improve the interface between States and the national records systems including:

- The NICS
- The National Protection Order File
- The National Sex Offender Registry (NSOR)

- The IAFIS

The first priority area for funding in FY2008 is updating and automating case outcomes from courts and prosecutors in State records and the FBI's Criminal History file.

Allowable costs may include activities such as:

- Automating the interface between the record repository and prosecutors, courts, and corrections, including the development of relevant information exchange package documentation based on the Global Justice XML Data Dictionary (GJXDM) and/or National Information Exchange Model (NIEM)
- Implementing improved criminal history record capture procedures, including complete arrest reporting and researching missing dispositions, provided that the captured data are subsequently included in the permanent automated database
- Ensuring that records of all criminal events that start with an arrest or indictment are included in the database
- Capturing data on domestic violence misdemeanor convictions
- Capturing data on persons convicted of abuse of children, the elderly, and the disabled and/or stalking and domestic violence offenses (including protection orders and violations thereof)
- Implementation of, or upgrades to, record systems which facilitate immediate identification of disposition records, provided the records are accessible for State- or Federal-level criminal history inquiries
- Reducing any backlog of missing dispositions
- Implementing the Uniform Record of Arrests and Prosecutions (RAP) sheet format which relies on GJXDM and NIEM, including assisting the States in converting criminal history records to the standard interstate RAP sheet format or for developing electronic interchange capabilities related thereto
- Conversion of manual or other non-automated records to electronic records
- **Submitting disposition information to the FBI via MRD format for supplying records on cartridge, tape<sup>1</sup> and other available electronic means (emphasis added)**
- Establishing more effective accuracy and information quality controls
- Conversion of juvenile records to the adult system - Federal regulations allow the FBI to accept juvenile records if submitted by the State or local arresting agency
- Upgrading equipment where directly related to improving availability of data and where appropriate given the level of data completeness and participation in national records systems (the ongoing and/or maintenance costs associated with any such equipment are allowable only for the first twelve-month period)

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<sup>1</sup> Tape submission will be discontinued after September 2008.

- Purchasing Livescan equipment for local agencies where the funds can be justified on the basis of geographic, population, traffic, or other related factors, and only where the State has established an Automated Fingerprint Identification System (AFIS) and either has implemented or is implementing procedures to ensure that the AFIS is compatible with FBI standards (the ongoing and/or maintenance costs associated with any such equipment are allowable only for the first twelve-month period)
- **Ensuring compatibility with Federal record systems, such as III, and to implement statewide integrated system strategies which interface all components of the criminal justice system, including law enforcement, prosecutors, courts, and corrections,** (emphasis added) to the extent that such expenditures improve the availability of criminal record data, including protection orders, and provided that any systems funded are compatible with FBI standards for national data systems, such as the National Incident-Based Record System (NIBRS), the NCIC 2000, the NICS, the IAFIS, the NCIC Protection Order File, and the NSOR. However, funds may not be used to support studies, analysis, design, or development of State integrated systems strategies.

NCHIP awards are made to the agency designated by the Governor to administer the program. The list of the designated agencies is available at <http://www.ojp.usdoj.gov/bjs/nchipadd.htm>. Funds distribution is based upon need rather than population or other formula-based methodology.

In addition to State awards, NCHIP funds are also allocated for the National Initiatives that cover the areas of:

- Technical assistance
- Privacy
- National conferences and workshops
- Surveys
- Evaluations
- Intergovernmental coordination
- Review of presale firearms inquiries and rejections

More information on the NCHIP National Initiatives can be found at <http://www.ojp.usdoj.gov/bjs/nchip.htm#initiatives>.

### **3.2 Tribal Criminal History Record Improvement Program (T-CHRIP)**

Applicants are limited to federally recognized tribal governments, including eligible Alaska Native villages and corporations, and authorized intertribal consortia (see 25 U.S.C. § 450b[e]), for-profit (commercial) organizations, non-profit organizations, faith-based and community organizations, institutions of higher learning, and consortiums with demonstrated organization and community based experience working with American Indian and Alaska Native communities, including tribal commercial and nonprofit organizations, tribal colleges and universities, and tribal consortiums.

FY 2008 priorities include:

- Support tribal law enforcement access to state and Federal automated fingerprint record systems for background checks and other purposes focusing on the use of fingerprint based systems of criminal history records
- Purchase and/or support installation of electronic Livescan fingerprinting equipment that conforms to FBI standards
- **Automate data transfers between tribal, State and Federal criminal records systems (emphasis added)**
- **Implement electronic record systems to collect and share domestic violence protection orders, driving while intoxicated (DWI) or driving while under the influence (DUI) convictions, and tribal sex offender records with State and/or Federal record systems. (emphasis added)**

Allowable costs include:

- **Record automation.** Conversion of manual fingerprint records to electronic records which conform to FBI specifications and requirements (i.e., scanning inked fingerprint cards into an AFIS. Funds may also be used to: automate arrest records; update arrest records with court disposition information; automate protection and/or restraining order records; automate DWI/DUI conviction information; automate sex offender records; and, automate the transmission of tribal records to State and national files.
- **AFIS/Livescan.** Funds may be used to support the implementation of an automated system for capturing fingerprint files and transmitting fingerprint images.

### **3.3 The Edward Byrne Memorial Justice Assistance Grant (JAG) Program**

JAG is the primary provider of federal criminal justice funding to state and local jurisdictions. JAG funds support all components of the criminal justice system, from multi-jurisdictional drug and gang task forces to crime prevention and domestic violence programs, courts, corrections, treatment, and justice information sharing initiatives.

JAG funds may be used for state and local initiatives, technical assistance, training, personnel, equipment, supplies, contractual support, and information systems for criminal justice, including:

- Law enforcement programs
- Prosecution and court programs
- Prevention and education programs
- Corrections and community corrections programs
- Drug treatment and enforcement programs
- Planning, evaluation, and technology improvement programs
- Crime victim and witness programs (other than compensation)

### **3.4 NICS Improvement Amendments Act of 2007**

On January 8, 2008, the NICS Improvement Amendments Act of 2007 became law. The Act authorizes funding for grants for state and Indian tribal governments to establish or upgrade information and identification technologies for firearms eligibility determinations. Additionally, the Act authorizes funding for grants for use by state and tribal court systems to improve the automation and transmittal of criminal history dispositions and records and mental health adjudications or commitments to federal and state record repositories.

Once funding is appropriated for these grants, these grant programs are expected to provide substantial funding for states and Indian tribal governments to improve disposition systems and the reporting of disposition to the FBI CJIS Division.

### **3.5 STOP Violence Against Women Formula Grant Program**

The STOP (Services, Training, Officers, Prosecutors) Violence Against Women Formula Grant Program (STOP Program) promotes a coordinated, multidisciplinary approach to improving the criminal justice system's response to violent crimes against women. The STOP Program encourages the development and strengthening of effective law enforcement and prosecution strategies to address violent crimes against women and the development and strengthening of victim services in cases involving violent crimes against women.

STOP formula grants and sub-grants are intended for use by states; state, local, and tribal courts; Indian tribal governments; units of local government; and nonprofit, nongovernmental victim services programs.

One of the statutory program purpose areas is:

- Developing, installing, or expanding data collection and communication systems, including computerized systems, linking police, prosecutors, and courts or for the purpose of identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions for violent crimes against women, including the crimes of sexual assault and domestic violence.

### **3.6 Grants to Reduce Violent Crimes Against Women on Campus**

The Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus Program (Campus Program) is designed to encourage institutions of higher education to adopt comprehensive, coordinated responses to domestic violence, dating violence, sexual assault, and stalking. Campuses, in partnership with community-based nonprofit victim advocacy organizations and local criminal justice or civil legal agencies, must adopt protocols and policies that treat violence against women as a serious offense and develop victim service programs that ensure victim safety, offender accountability, and the prevention of such crimes.

Two specific areas for which grant funds may be used are:

- To provide personnel, training, technical assistance, data collection, and other equipment with respect to the apprehension, investigation, and adjudication of persons committing domestic violence, dating violence, sexual assault, and stalking on campus.
- To develop, install, or expand data collection and communication systems, including computerized systems, linking campus security to local law enforcement for the purpose of identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions with respect to crimes of domestic violence, dating violence, sexual assault, and stalking on campus.

### **3.7 Community Oriented Policing Service (COPS)**

The COPS Office distributes funding through a wide range of programs, both as grants and cooperative agreements. The COPS website, [www.cops.usdoj.gov](http://www.cops.usdoj.gov), outlines COPS funding programs, including those through which additional funding may be available again, such as hiring, technology, and school safety (COPS in Schools) grants. Special Projects often focus on implementing community policing strategies to solve specific crime, disorder, and quality of life issues, such as reducing methamphetamine use and production, increasing seatbelt usage, and implementing the 311 non-emergency telephone system.

COPS funding helps law enforcement agencies across America meet an ever-increasing range of challenges with community policing.

## **4 TECHNICAL ASSISTANCE**

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The Biometric Services Section (BSS) Customer Service Group (CSG) will provide and coordinate technical assistance to agencies to implement disposition reporting methodologies including:

- Technical specifications
- Help in understanding the different methods to report and maintain disposition, as well as, assistance with reducing disposition reject rates
- Testing coordination and feedback
- Assistance in establishing an MOU for local agencies to use the MRD disposition submission process
- Policy and technical presentations related to disposition reporting

Requests for Technical Assistance can be made by contacting the CJIS Division at 304-625-5590.

## 5 DISPOSITION SUBMISSION VIA THE MRD

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Submission of dispositions using the MRD method is a capability which allows reporting agencies to write dispositions to a media, mail the media to the FBI CJIS for processing, and receive the results of the processing by the same media as the original submission.

The manual *Disposition Submission via Machine Readable Data (MRD)* provides the detailed specifications for this methodology.

### 5.1 Common Uses of MRD

The MRD method is ideally suited to reporting large quantities of dispositions in the following circumstances:

- Submission of historical dispositions previously posted to a state or local system
- Submission of current dispositions on a regularly scheduled basis (e.g., monthly)

### 5.2 Participation Requirements

State agencies and local agencies with an MOU as described in Section 2.4 can submit dispositions via MRD.

### 5.3 Submission Requirements

The FNU (FBI Number), the Date of Arrest (DOA), and the Date of Arrest Suffix (DOS), where applicable, must be furnished when submitting dispositions. The offense and disposition will be posted to the CJIS Division SCH record without matching the arrest offense (i.e., arrest charge). Each offense for which CJIS Division has a fingerprint submission should have a disposition.

The CJIS Division will process all dispositions submitted via the MRD process. Any custody, supervisory, parole dispositions or additional court dispositions should be reported using the MRD method.

Each MRD entry submitted may consist of one to ten charges with corresponding dispositions for a DOA. The CJIS Division will not accept more than ten charges with corresponding dispositions per DOA using the MRD method. MRD submissions containing an excess for ten dispositions per DOA should be submitted following current R-84 Final Disposition Report procedures. DOAs with ten or less charges must format the MRD disposition submission according to the specific data fields and sequence as defined in the MRD Manual. **Dispositions for records containing the same charge with multiple counts should be submitted as a single charge indicating the total number of counts and one combined disposition.**

## 5.4 Media Requirements

Disposition submissions may be submitted via the MRD method using either tape, CD-R, or potentially DVD-R.

**Table 5-1 MRD Disposition Submission Summary**

Method	Available	Phased Out
MRD – Tape	Current	Sept 2008
MRD – CD-R	Current	n/a
MRD – DVD-R	TBD	n/a

The record format for submitting final dispositions is provided in the MRD Manual. The following table summarizes the differences between the different media.

**Table 5-2 MRD Media Specification**

Method	Encoding	Specification	Notes
MRD – Tape	EBCDIC	8 mm tapes or 3480/3490 (18 or 36 track) tapes	
MRD – CD-R	ASCII	CD-R	<p>single closed session (closed/finalized disc)</p> <p>The CD-R is required to be labeled with the following information.</p> <ol style="list-style-type: none"> <li>1. Submitting agency ORI number</li> <li>2. Type of data (e.g. Dispositions or Expungements)</li> <li>3. Number of dispositions / expungements per CD-R</li> <li>4. Date CD-R was created</li> <li>5. Operating system utilized to burn the CD-R.</li> </ol> <p>The data can either be hand written directly on the CD-R with a black permanent marker or on a paper label placed on the CD-R case. (No labels are to be placed directly on the CD-R).</p>
MRD – DVD-R	ASCII	DVD-R	TBD

Data submitted using tape should be written using the Extended Binary Coded Decimal Interchange Code (EBCDIC) standard. Data submitted using CD-R or DVD-R should be written using the American Standard Code for Information Interchange (ASCII) standard. Agencies that use CD-Rs or DVD-Rs to send data must write the data as a single closed session (closed/finalized disc).

## 5.5 Post Processing Information

The CJIS Division furnishes an audit response for each media (e.g., tape, CD-R, DVD-R) submission. The audit response indicates the number of dispositions posted to the CJIS Division files or if an error condition occurred. The format of the response is provided in the MRD Manual. The audit response is written at the end of submitted tapes as a second data set in the case of a tape submission. Upon request, the CJIS Division will provide a separate CD-R or DVD-R containing the audit responses for CD-R/DVD-R submissions.

The following table provides a summary of the actions that are taken as a result of a disposition submission using the MRD method:

**Table 5-3 Disposition Submission Action Summary**

Method	Fingerprints	Identity	Arrest	Disposition	Action	Response
MRD	None	Match	Match	None exists	Add disposition	Disposition posted
		Match	Match	Exists	Replace disposition	Disposition posted
		Match	New	N/A	Reject	Reject
		No Match	N/A	N/A	Reject	Reject

## 5.6 Testing MRD Submissions

The IAFIS Non-Operational Environment (NOE) may be utilized by DRI participants for testing purposes. There are two rounds of testing.

In round one, the agency provides one CD-R or potentially DVD-R with 200 test records. The test records must be state arrests and dispositions; no federal records may be submitted. The tape/CD-R/DVD-R must be labeled (see Table 5-2 for labeling instructions). The CJIS Division will process the records on the NOE and manually assess the results. If any problems occur requiring correction, the CJIS Division staff will provide the appropriate feedback to the agency for correction. The agency must repeat the round one of testing until the results are acceptable.

In round two, the agency provides one CD-R or potentially DVD-R with up to 20,000 records. The CJIS Division staff will first process the records on the NOE. The CJIS Division staff will manually assess the results. If the results are acceptable, the CJIS Division staff will then process the data on the Operational Environment (OE) and again review the results. If the results are acceptable, then the CJIS Division staff will notify the agency via e-mail that they have passed the required testing and can begin submitting dispositions via the Production/Operational Environment. If the results are not acceptable, the CJIS Division staff will notify the agency and indicate what must be done to correct the problem and repeat the test.

## 6 DISPOSITION SUBMISSIONS VIA A III MESSAGE KEY

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A III MKE, III-DSP-REQ, has been developed for disposition reporting and maintenance:

- The MKE DSP provides individual states the capability to update the CJIS Division's criminal history repository with disposition data. This MKE may be used 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.

The *Technical and Operational Update Development of a New Message Key (MKE) to the Interstate Identification Index Program 08-1* (TOU) provides the detailed specifications for this methodology. Appendix B of this Implementation Guide contains a copy of the TOU update. The complete *National Crime Information Center 2000 Operating Manual* and the *National Crime Information Center 2000 Code Manual* are available on LEO.

### 6.1 Common Uses of III Message Key

The III message key process is ideally suited to reporting final dispositions in real-time as records are updated in state systems.

The III-DSP-REQ message **requires** the setting of the Identification for Firearms Sales (IFFS) flag.

### 6.2 Participation Requirements

Participation is limited to III participants. III participants may only request updates and maintenance of disposition data to a III record that contains its State Pointer using the III-DSP-REQ. The MKE is limited to updating existing dates of arrest already maintained in the IAFIS as a result of a tenprint transaction, since the III message is not supported by fingerprint images.

### 6.3 Submission Requirements

In order to associate the dispositions to the offenses enumerated on a fingerprint submission record, the FBI Number or SID, and the DOA must be furnished when submitting dispositions. Each offense for which CJIS Division has a fingerprint card should have a disposition.

Each III message submitted may consist of one to ten court charges with corresponding dispositions for a DOA. Additional charges and dispositions can be submitted with additional III messages as specified in the TOU 08-1, published February 29, 2008.

### 6.4 Post Processing Information

An accept or reject message is sent for each III DSP message as an unsolicited message.

The III-DSP-REQ Accept Response message is sent to the III Participant as an acknowledgement of receipt or as a notification that the III DSP message has been deferred for Special Processing.

The III-DSP-REQ Reject Response message is sent to the III Participant as a notification of rejection and contains the reason for rejection.

The following table provides a summary of the actions that are taken as a result of an original disposition submission:

**Table 6-1 Disposition Submission Action Summary for Add and Append Operations**

Method	Fingerprints	Identity	Arrest	Disposition	Action	Response
III-DSP-REQ	None	Match	Match	None exists	Add or append disposition	Accept
		Match	Match	Exists	Defer submission if add operation, append disposition if append operation	Accept
		Match	No Match	N/A	Reject	Reject
		No Match	N/A	N/A	Reject	Reject

Deferred dispositions are sent to Conflict Resolution (see Section 2.3).

The following table provides a summary of the actions that are taken as a result of a disposition maintenance submission:

**Table 6-2 Disposition Maintenance Action Summary for Replace and Delete Operations**

Method	Fingerprints	Identity	Arrest	Disposition	Action	Response
III-DSP-REQ	None	Match	Match	Exists	Replace	Accept
		Match	Match	None exists	Add or Append as requested	Accept
		Match	No Match	N/A	Reject	Reject
		No Match	N/A	N/A	Reject	Reject

## 6.5 Message Specifications

The format for the III-DSP-REQ and the accept and reject responses are provided in the TOU 08-1 document, published February 29, 2008.

## 6.6 Testing III Message Submissions

The IAFIS NOE is available to DRI participants for testing purposes. *States must accept and process the various unsolicited messages transmitted as the III database is updated.* To enable states to use the testing capability, the FBI's III staff has established test records (single-source and multi-source) in the III for each state. The contents of these records are coordinated with individual states' records. Each of these records must be established in the state's production database prior to DRI test participation. Testing should be coordinated with the CJIS Division – see Section 4.

## 7 DISPOSITION SUBMISSIONS VIA THE EBTS

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An EBTS TOT will be developed for disposition reporting and maintenance. The DSPE (Disposition Electronic) TOT will be available for submitting, via the CJIS WAN, dispositions without fingerprints and must contain a specific identifier present in the SCH record that was established previously by fingerprints. The DSPF (Disposition Electronic Fingerprint) TOT will be available for submitting, via the CJIS WAN, dispositions with fingerprints. Fingerprints contained in the DSPF submissions may be used as a means to identify an existing SCH record or used to create a new SCH record when one is not identified.

The *Electronic Biometric Transmission Specification (EBTS)* will provide the detailed specification for this submission methodology when it is developed.

### 7.1 Common Uses of EBTS TOT

It is envisioned that the EBTS DSPE TOT transaction will be ideally suited for reporting final dispositions in real-time as records are updated in state systems.

Once it is available, the EBTS DSPF TOT **containing fingerprints** is the only disposition reporting method which can create a new SCH record if a matching subject record is not identified.

Once it is available, the EBTS DSPF TOT **containing fingerprints** is also the only disposition reporting method which will result in posting the disposition to the SCH record when a matching arrest is not identified.

### 7.2 Participation Requirements

Participation is limited to states.

### 7.3 Submission Requirements

This section will be updated once the detailed specifications for submission have been developed and published in the EBTS.

### 7.4 Post Processing Information

This section will be updated once the detailed specifications for submission have been developed and published in the EBTS.

### 7.5 Transaction Specifications

The specifications for the DSPE submission and the response transactions will be provided in the EBTS.

### 7.6 Testing EBTS Submissions

The IAFIS NOE will be available to DRI participants for testing purposes.

## **8 DISPOSITION SUBMISSIONS USING PAPER FORMS**

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Final dispositions may be submitted to the CJIS Division using paper forms. Some examples of paper Disposition Forms include:

- Court Orders
- Computerized Forms Devised and Approved by the Respective State
- R-84 Final Disposition Report

The R-84 Final Disposition Report is the most commonly used paper Disposition Form. The R-84 is a standard form available through the FBI, free of charge. A copy of the R-84 form is contained in Appendix C. To order R-84 Final Disposition Report or R-84 Training Forms, contact the FBI at 304-625-3983.

### **8.1 Common Uses of Paper Forms**

Paper forms are the least desirable method to report dispositions. This type of processing is both labor intensive and they take longer to process than other methods.

Paper forms may be used by contributors that do not have the capability of sending dispositions using electronic means, or for those records that the state cannot submit using electronic means.

### **8.2 Participation Requirements**

Participation is limited to states.

### **8.3 Submission Requirements**

In order to relate the dispositions to the offenses enumerated on a fingerprint submission, the following information is required in addition to the disposition:

- name submitted on the original arrest fingerprints that established the record
- Date of Birth (DOB)
- contributor or fingerprints – the name and location of the agency that submitted the original arrest fingerprints
- Date of Arrest (DOA)
- Offenses Charged at Arrest – the arrest charge(s) in literal terms, or the numeric arrest codes and U.S. Title Codes accompanied with the literal charge
- Submitting agency (ORI)

In addition to the previous fields, the following fields are optional:

- FBI number
- State Identification Number (SID)
- Social Security Number (SOC)

**Unless state statutes prohibit, dispositions for records containing the same charge with multiple counts should be submitted as a single charge indicating the total number of counts and one combined disposition.**

## **8.4 Post Processing Information**

If there are no errors, the disposition is posted and no response is returned to the sender.

If there are errors, the disposition is returned to the sender with a notation indicating the problem that needs to be resolved.

## APPENDIX A – ACRONYMS

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**Table A-1 Acronyms**

Acronym	Meaning
AFIS	Automated Fingerprint Identification System
AFIT	Advanced Fingerprint Identification Technology
ASCII	American Standard Code for Information Interchange
BSS	Biometric Services Section
CD-R	Compact Disk – Recordable
CFN	Court Fine
CHR	Criminal History Record
CJIS	Criminal Justice Information Services
CMT	Confinement
COL	Court Offense Literal
CON	Court Offense Numeric
COPS	Community Oriented Policing Services
CPI	Criminal Print Ident
CPL	Court Provision Literal
CSG	Customer Support Group
DC	District of Columbia
DOA	Date of Arrest
DOB	Date of Birth
DoD	Department of Defense
DOS	Date of Arrest Suffix
DRI	Disposition Reporting Improvements
DSP	Disposition Submission Request
DSPE	Disposition Electronic
DSPF	Disposition Electronic Fingerprint
DUI	Driving Under Influence
DVD-R	Digital Versatile Disc Recordable
DWI	Driving While Intoxicated
EBCDIC	Extended Binary Coded Decimal Interchange Code
EBTS	Electronic Biometric Transmission Specification (formerly EFTS)
EIR	Enhanced IAFIS Repository

Acronym	Meaning
FBI	Federal Bureau of Investigation
FFL	Federal Firearms Licensee
FIS	Fingerprint Image Submission
FNU	FBI Number
GJXDM	Global Justice Extensible Mark-Up Language Data Model
GLOBAL	Global Justice Information Sharing Initiative
IAFIS	Integrated Automated Fingerprint Identification System
IFFS	Identification for Firearms Sales
III	Interstate Identification Index
III-DSP-REQ	III Disposition Submission Request
IPS	Interstate Photo System
JAG	Justice Assistance Grants
LEO	Law Enforcement Online
MKE	Message Key
MOU	Memorandum of Understanding
MPI Unit	Major Program Implementation
MRD	Machine Readable Data
NCHIP	National Criminal History Improvement Program
NCIC	National Crime Information Center
NCPA	National Child Protection Act
NFF	National Fingerprint File
NGI	Next Generation Identification
NIBRS	National Incident-Based Record System
NICS	National Instant Criminal Background Check System
NIEM	National Information Exchange Model
NOE	Non-Operational Environment
NPPS	National Palm Print System
NSOR	National Sex Offender Registry
OE	Operational Environment
ORI	Originating Agency Identifier
PG	Pled Guilty
POC	Point of Contact

Acronym	Meaning
PRO	Probation
PROTECT	Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act 2003
QCA	Quality Check Automation
RAP	Record of Arrests and Prosecutions
SCH	Subject Criminal History
SIB	State Identification Bureau
SID	State Identification Number
SOC	Social Security Number
SOR	Sexual Offender Registry
SoS	System of Services
STOP	Services, Training, Officers, Prosecutors
SUS	Suspended Sentence
TBD	To Be Determined
T-CHRIP	Tribal Criminal History Record Improvement Program
TOT	Type of Transaction
TOU	Technical and Operational Updates
UCN	Universal Control Number
VPN	Virtual Private Network
WAN	Wide Area Network
XML	Extensible Markup Language

# **APPENDIX B – TOU FOR DSP MKE 08-1**

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February 29, 2008

## **TECHNICAL AND OPERATIONAL UPDATE (TOU) 08-1**

**SECTION 1 -- MESSAGE TO CJIS SYSTEMS OFFICERS.....B-2**

**SECTION 2 -- SYSTEM CHANGES.....B-3**

**DEVELOPMENT OF A NEW MESSAGE KEY (MKE) TO THE INTERSTATE  
IDENTIFICATION INDEX (III) PROGRAM.....B-3**

## 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.

\* \* \* \* \*

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](http://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](mailto: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 B-7 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 B-7 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	SID
	Number (SID)	
MD1012600	Controlling Agency	CRI
	Identifier	
DMI/A	Disposition	DMI
	Maintenance Indicator	
DOA/20070131	Date of Arrest	DOA
IFS/X	IFS	IFS
DSP-SET	Disposition Set (1-10	DSP-
	occurrences)	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**

<b>EXTERNAL CODE</b>	<b>LITERAL</b>	<b>DESCRIPTION</b>
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**

<b>IFS DISP CODE</b>	<b>DEFINITION</b>
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
MD004445Y
REJECT DSP.MD004445Y.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)
```



## INSTRUCTIONS

1. The purpose of this report is to record the initial data of a subject's arrest and secure the final disposition of the arrest at the earliest possible time. (INTERIM DISPOSITION INFORMATION, e.g RELEASED ON BOND, SHOULD NOT BE SUBMITTED). The SUBJECT'S NAME, CONTRIBUTOR AND ARREST NUMBER should be exactly the same as submitted at the time of arrest. The FBI number should be indicated, if known. Agency ultimately making final disposition will complete and mail form to: FBI Criminal Justice Information Services Division, Clarksburg, WV 26306.
2. The arresting agency should fill in all arrest data on left side of form as the contributor of the fingerprints. The arresting agency ORI should be placed in the appropriate block. If the arrest is disposed of by the arresting agency, as where the arrestee is released without charge, the arresting agency should fill in this final disposition and mail form to FBI Criminal Justice Information Services Division. Of course, if the final disposition is known when the arrest fingerprint card is submitted, it should be noted on the fingerprint card and this form is then unnecessary. In the event the case goes to the prosecutor, this form should be forwarded to the prosecutor with arrestee's case file.
3. The prosecutor should complete the form to show final disposition at the prosecution level if the matter is not being referred for court action and submit form directly to FBI Criminal Justice Information Services Division. If court action is required, the prosecutor should forward form with case file to court having jurisdiction.
4. The court should complete this form as to final court disposition such as when arrested person is acquitted, case is dismissed, conviction/sentence imposed or suspended, or person placed on probation.
5. When arrested person is convicted or pleads guilty to a lesser or different offense than when originally arrested, this information should be clearly indicated.
6. If subsequent action is taken to seal or expunge record, attach certified or authenticated copy of court order to this form.
7. It is vitally important for completion of subject's record in the FBI Criminal Justice Information Services Division files that Final Disposition Reports be submitted in every instance where fingerprints were previously forwarded without final disposition noted.
8. Submission of flat capture fingerprint impressions is optional.
9. Asterisks indicate mandatory fields.

**Figure C-2 R-84 Form Back**