

NICS Lesson Plan

NCIC NICS DENIED TRANSACTION FILE

I. Introduction

The NICS Denied Transaction File (NDTF) in NCIC is designed to share information regarding individuals who, having been determined to be prohibited persons according to the Brady Handgun Violence Prevention Act of 1993 (Brady Act), have been denied as a result of a National Instant Criminal Background Check System (NICS) background check. The data in the NDTF will enhance officer and public safety and provide investigate assistance.

If the status of a NICS denied transaction is subsequently changed, such as the result of a successful appeal, then the corresponding NDTF record will be removed from NCIC. To ensure that NICS deny transactions which have subsequently incurred a status change are not stored in NCIC, in accordance with the purge requirements of the Brady Act as defined by the United States Congress and federal regulation, NDTF information will not be maintained on the NCYC system logs.

NOTE: There are not Hit Confirmation, Locate, or Clear transactions for this file.

II. Objectives

Upon completion of this lesson, the user will be able to answer questions related to NICS Transaction File.

III. History and Background in Indiana

The Indiana Constitution and the U.S. Bill of Rights both recognize an individual's right to keep and bear arms.

Second Amendment to the U.S. Constitution
Article 1, Section 32 of the Indiana Constitution

Language in the Supreme Court's *Heller* opinion affirmed that firearms ownership is an individual right.

However, the right to keep and bear arms, like any other right, is subject to reasonable regulation.

Under Indiana Law, a law enforcement officer may seize and keep firearms from mentally unstable or dangerous individuals.

This is known as the "Jake Laird" law. IC 35-47-14.

August 18, 2004 – Kenneth Anderson goes on a rampage armed with an SKS rifle and two handguns. Anderson's rampage begins with the murder of his 66 year old mother, killed by Anderson for no apparent reason. Anderson then calls his brother over to the house and shows him their mother's body. The brother leaves and calls authorities.

NICS Lesson Plan

August 18, 2004 – at about 2:00 am in an Indianapolis near-southside neighborhood, Anderson goes out into the street and begins firing. Indianapolis Police Department officers are dispatched. Anderson then begins walking through the dark neighborhood, firing randomly. Officer Tim Conley is the first to arrive in the area. Officer Conley is shot and injured before he even exits his vehicle. He escapes the kill zone by backing away rapidly. Officers cannot find Anderson; he is shooting and moving, taking advantage of the dark. Officers Peter Koe, Andrew Troxell, Leon Essig, and Jake Laird enter the area, looking for the shooter. All four officers are shot, receiving various injuries. Officer Laird received the most serious injury. He was shot in his chest, above his body armor. Officer Koe eventually finds and stops Anderson.

After Anderson's death, it comes to light, that months earlier, in January 2004, Anderson had been taken to St. Francis Hospital for an emergency detention. During the January investigation, officers removed a number of weapons from Anderson's home. Anderson was evaluated and released from St. Francis. Anderson demanded the return of his seized firearms held by I.P.D. Lacking any legal authority to keep Anderson's weapons, I.P.D. reluctantly returns the firearms in March 2004.

In response, the Indiana General Assembly passed H.E.A 1776 in 2005. Vote was 48-1 in the Senate and 91-0 in the house. The new law, dubbed the "Jake Laird Law", allows the seizure and retention of firearms from dangerous and mentally ill persons. Created a new Chapter, IC 34-47-14, "Proceedings for the Seizure and Retention of a Firearm".

IV. Retention

1. All NDTF records are available in NCIC from the Date of NICS Denial. Canceled records will be removed from the NDTF on the day of the cancellation transaction.
2. Agency Expiration Notification – the agency expiration notification is a NICS Administrative Message used by the NICS to indicate to an agency that NICS record entered by their agency is scheduled to be purged. "If the Expiration Date is not extended within 5 days, the record will be purged from the NICS INDEX". (\$.NICS.DPX)
3. NDTF records are not subject to validation.

V. Entry

1. The NDTF will contain all records for individuals who have been denied as a result of a NICS check. NDTF records are entered and canceled through an interface between NCIC and NICS that is managed by the FBI.

The contributing agency (CA) is responsible for the accuracy and validity of the NICS Indices information, so it is imperative that the CA keep the NICS Indices updated to minimize erroneous denials. The CA is also responsible for responding to appeals, assessments, and audits of the submitted records.

NICS Lesson Plan

At times, the NICS Section receives inquiries from mental health professionals, police officers, family and friends, or others seeking placement of individuals into the NICS Indices. Since entries are made only by qualified entities, those concerned should instead contact any agency which maintains documentation that the person in question is not allowed to have firearms under federal or state law, so that agency has the opportunity to contribute the information

MKE, ORI, NAM, SEX, DOB, PCA, and ARI are mandatory (DOB may be replaced by either the MNU or SOC).

MKEs are EDP (add record), MDP (modify record), SDP (supplemental record), and XDP (cancel record)

Enter Denied Person (EDP)

The screenshot shows a web-based form titled "EDP - Enter NICS Index Record". The form is organized into several sections:

- Header Information:** Includes a dropdown for "QRI" and a text field for "* Requestor".
- Required Information:** Includes text fields for "* Name", "* Sex", "* P.P. Category", "* Agency Case #", "* ARI #", "* Date of Birth", and a dropdown for "State Prohibited Category Code".
- Identifying Information:** Includes dropdowns for "Race", "Residence State", and "Date of Expiration"; text fields for "Height", "Weight", "Place of Birth", "Eye Color", and "Hair Color"; dropdowns for "Miscellaneous #", "Social Security #", and "Scars, Marks, Tattoos"; and text fields for "Alias" and "Denying Agency".
- Relationship to Victim:** Includes a dropdown for "Relationship to Victim" and a text field for "State Statute and Subsection".
- Miscellaneous Information:** A large empty text area at the bottom.

Required Information

1. Name (NAM)
 - a. Maximum of 138 characters and must provided in the following format: SURNAME (50)[comma][space] FIR(50) [space] CANDACE (4). Must contain at least one, and only one, comma. Comma must not be preceded by a blank or hyphen. Two or more consecutive blanks or hyphens between characters are invalid. Hyphen must be receded and followed by alpha characters.
Example:
Smith, John Henry
Smith, John Henry Jr
Smith, John H Q
Smith, John Henry Lewis
Castro-Ramirez, Ann-Marie Cesar

NICS Lesson Plan

2. Sex (SEX)
 - a. F-Female, M-Male, U-Unknown.
3. Category of Prohibited Persons (PCA)
 - a. RTV and SST are mandatory when the PCA Code is I or MI.
 - b. The State PCA (SPC) is mandatory if the PCA is J.
 - c. Refer to the NICS State Prohibitor Statute Data Code Table for a complete list of current permissible values for the SPC.

Codes: (Messenger Codes)

A1 – Conviction for a crime punishable by imprisonment for a term exceeding one year or a misdemeanor conviction punishable by imprisonment for more than 2 years. (Felony)

A2 – Active indictment or information for a crime punishable by imprisonment for a term exceeding one year or a misdemeanor punishable by imprisonment for more than 2 years. (Under Indictment)

B – Fugitive from justice/active criminal warrant. (Fugitive from Justice)

C – Federal controlled substance illegal user/addict. (Controlled Substance Abuse)

D – Adjudicated or committed mental defective. (Mental Defective)

E – Illegal Alien. (Illegal/Unlawful Alien)

F – Dishonorable discharge from military. (Dishonorable Discharge)

G – Renounced citizenship. (Citizenship Renounced)

H – Subject of qualifying protection order. (Domestic Violence Restraining Order)

I – Misdemeanor Conviction of Domestic Violence. (Misdemeanor Crime of Domestic Violence)

J – State Prohibitor. (State Prohibition)

M – Federally Denied Person File.

M1 – Denied Person – Conviction of a crime punishable by more than 1 year or a misdemeanor punishable by more than 2.

M2 – Denied Person – Under Indictment/Information.

MB – Denied Person – Fugitive from Justice.

MC – Denied Person – Unlawful User/Addicted to a Controlled Substance.

MD – Denied Person – Adjudicated Mental Defective/Committed to a Mental Institution.

ME – Denied Person – Illegal/Unlawful Alien.

MF – Denied Person – Dishonorable Discharge.

MG – Denied Person – Renounced U.S. Citizenship.

MH – Denied Person – Protection/Restraining Order.

MI – Denied Person – Misdemeanor Crime of Domestic Violence Conviction.

4. Agency Case Number (OCA)
 - a. The local identification number assigned to the subject by the local agency. Can be stored as a Arrest Case Number, Judicial Case Number.
5. ARI Number (ARI)
 - a. Agency Record Identifier. The record number assigned by a NICS Index record by the agency who provided the record data.
NOTE: Indiana State Police recommends it to be the Cause Number.

NICS Lesson Plan

6. Date of Birth (DOB)
 - a. If DOB is not provided, there is a risk that the subject may still receive a firearm, since neither of the other two numeric identifiers are required on the ATF Form 4473 completed at the time of purchase.
 - b. DOB must be validated to ensure that it is prior to the current data and not more than 110 years ago.

7. State Prohibited Category Code (SPC)

IN0001 - Unless the person's right to possess a firearm has been restored under 35-47-4-7, a person who has been convicted of domestic battery under 35-42-2-1.3. NOTICE FOR PERMIT CHECKS: This state prohibition applies to HANDGUN PURCHASE/POSSESSION, therefore, permits solely relating to LONG GUNS MAY NOT be prohibited.

IN0002 - Convicted of a felony. NOTICE FOR PERMIT CHECKS: This state prohibition applies to HANDGUN PURCHASE/POSSESSION, therefore, permits solely relating to LONG GUNS MAY NOT be prohibited.

IN0003 - A person who has been adjudicated a delinquent child for an act that would be a felony if committed by an adult, if the person seeking to obtain ownership or possession of the handgun is less than 23 years of age. NOTICE FOR PERMIT CHECKS: This state prohibition applies to HANDGUN PURCHASE/POSSESSION, therefore, permits solely relating to LONG GUNS MAY NOT be prohibited.

IN0004 - Is a drug abuser (35-47-1-4 defines drug abuser as an individual who has had 2 or more violations of IC 35-48-1, IC 35-48-2, IC 35-48-3 or IC 35-48-4, or any 1 of which resulted in conviction by a court or treatment in a drug abuse facility within 5 years prior to date of application). NOTICE FOR PERMIT CHECKS: This state prohibition applies to HANDGUN PURCHASE/POSSESSION, therefore, permits solely relating to LONG GUNS MAY NOT be prohibited.

IN0005 - Is an alcohol abuser (35-47-1-2 defines an alcohol abuser as an individual who has had 2 or more alcohol related offenses, any 1 of which resulted in conviction by a court or treatment in an alcohol abuse facility within 3 years prior to the date of the application). NOTICE FOR PERMIT CHECKS: This state prohibition applies to HANDGUN PURCHASE/POSSESSION, therefore, permits solely relating to LONG GUNS MAY NOT be prohibited.

IN0006 - Mentally incompetent. NOTICE FOR PERMIT CHECKS: This state prohibition applies to HANDGUN PURCHASE/POSSESSION, therefore, permits solely relating to LONG GUNS MAY NOT be prohibited.

NICS Lesson Plan

INCR01 - Currently under court-ordered provisions prohibiting firearm possession. NOTICE FOR PERMIT CHECKS: This prohibition MAY NOT apply to permit applications that are NOT ATF-Qualified Alternate Permits.

INPR01 - Probation restriction: Refrain from possessing a firearm or other dangerous weapon unless granted written permission by the court or the person's probation officer. NOTICE FOR PERMIT CHECKS: This state prohibition MAY NOT apply to permit applications that are NOT ATF-Qualified Alternate Permits.

INPC01 - The court may prohibit a respondent from using or possessing a firearm, ammunition or deadly weapon specified by the court, and direct the respondent to surrender to a specified law enforcement agency the firearm, ammunition, or deadly weapon for the duration of the order for protection unless another date is ordered by the court. NOTICE FOR PERMIT CHECKS: This state prohibition MAY NOT apply to permit applications that are NOT ATF-Qualified Alternate Permits.

Identifying Information

Some Fields are optional, the record will be more complete and the background check more accurate if all available information is provided.

1. Race (RAC) There may be multiple occurrences for each subject.
 - a. New Codes for NICS:
 - A – Asian
 - B – Black or African American
 - H – Hispanic or Latino
 - I – American Indian or Alaskan Native
 - P – Native Hawaiian or Other Pacific Islander
 - U – Unknown
 - W – White
2. Residence State (SOR)
 - a. Must be a valid NCIC Code.
3. Date of Expiration (EXP)
 - a. Mandatory for records with PCA of C, A2, MC, or M2.
 - b. The EXP is not applicable if the PCA code is D or MD.
 - c. May be mandatory for records with PCA of J (State Prohibitor). For clarification on whether a specific SPC requires an expiration date refer to the NICS State Prohibitor Stature Data Code Table.
4. Height (HGT)
 - a. May be a minimum is 400 but not more than 711 or 000 for missing or unknown.

NICS Lesson Plan

5. Weight (WGT)
 - a. Minimum of 001 and maximum of 499.
6. Place of Birth (POB)
 - a. Must be a valid NCIC Code.
7. Eye Color (EYE)
 - a. Must be a valid NCIC Code.
8. Hair Color (HAI)
 - a. Must be a valid NCIC Code.
9. Miscellaneous Number (MNU) (Two Fields)
10. Social Security Number (SOC) (Two Fields)
11. Scars, Marks, and Tattoos (SMT) (Two Fields)
 - a. Must be a valid NCIC Code.
12. Alias (AKA) (Two Fields)
 - a. Other names by which subject has been known.
13. Denying Agency (DNY)
 - a. The agency who denied the NICS transaction of an individual in the Index Federally Denied Persons File.
14. Relationship to Victim (RTV)
 - a. AQ-Victim was acquaintance.
BE-Victim was babysitter (The Baby)
BG-Victim was boyfriend/girlfriend
CF-Victim was child of boyfriend or girlfriend
CH-Victim was child
CS-Victim was common-in-law-spouse
EE-Victim was employee
ER-Victim was employer
FR-Victim was friend
GC-Victim was grandchild
GP-Victim was grandparent
HR-Homosexual relationship
IL-Victim was in-law
NE-Victim was a neighbor
OF-Victim was other family member
OK-Victim was otherwise known
PA-Victim was parent
RU-Relationship unknown
SB-Victim was sibling
SC-Victim was stepchild
SE-Victim was spouse
SP-Victim was stepparent

NICS Lesson Plan

SS-Victim was stepsibling
 ST-Victim was stranger
 XS-Victim was ex-spouse

15. State Statue and Subsection (SST)
 - a. The state statute ad subsection of the crime entered as a prohibiting record in the NICS Index.
16. Miscellaneous Information (MIS)

VI. Supplemental

Only the entering agency can enter a supplemental records. The record to be supplemented is identified by the NAM and either the NRI or ARI number.

NOTE: Currently there is not a Cancel Supplemental Screen.

Enter Supplemental (SDP)

The screenshot shows a web-based form titled "SDP - Supplement NICS Index Record". The form is organized into four main sections:

- Header Information:** Contains a dropdown menu for "ORI" and a text input field for "* Requestor".
- Record Identifiers:** Contains a text input field for "* Name", a text input field for "NRI #", and a text input field for "ARI #".
- Supplemental Information:** Contains several fields: two dropdown menus for "Miscellaneous #", two text input fields for "Social Security #", two dropdown menus for "Scars, Marks, Tattoos", and two text input fields for "Alias".
- Miscellaneous Information:** This section is currently empty and has a scroll bar on the right.

Record Identifiers

1. Name (NAM)
 - a. The name provided in the NAM Field exactly match the name that was provided when the record was created.
2. NRI Number (NRI)
 - a. NICS Record Identifier.
3. ARI Number (ARI)
 - a. Agency Record Identifier.

NICS Lesson Plan

Supplemental Information

1. Miscellaneous Number (MNU) (Two Fields)
2. Social Security Number (SOC) (Two Fields)
3. Scars, Marks, Tattoos (SMT) (Two Fields)
4. Alias (AKA) (Two Fields)
5. Miscellaneous Information (MIS)

VII. Modify

Only the entering agency can modify a NICS Index record. The record to be modified is identified by the name (NAM) and NRI number. Only those fields populated/designated for change will be updated within the Index Record. Any field that does not contain data will not be modified.

For fields that contain only one value, the proper format is MCF/*zzzzzzzzzz* MCF/- (where “-“ will remove xxxxxxxxxx). Only optional fields are permitted when MCF/- is used.

For AKA, SMT, MNU, SOC and DOB fields, the proper modification format is MCF/*xxxxxxxxxx;zzzzzzzzzz* or MCF/*xxxxxxxxxx;-* (where “-“ will remove xxxxxxxxxx).

Where xxxxxxxxxx is the current data, the separator is a semi-colon (;), and *zzzzzzzzzz* is the new data. Note that you can specify any number of AKA, SMT, MNU, SOC, RAC, and DOB Fields. Data must be entered for the *zzzzzzzzzz* value or the modify request will be rejected by the NICS/FBI.

NICS Lesson Plan

Modified Denied Person (MDP)

Header Information
ORI * Requestor

Record Identification
* Name NRI # ARI #

Modifiable Fields

Personal Information
Sex Date of Birth P.P. Category
ARI # State Prohibited Category Code

Identifying Information
Race Residence State Date of Expiration Agency Case #
Height Weight Place of Birth Eye Color Hair Color
Miscellaneous # Miscellaneous #
Social Security # Social Security #
Scars, Marks, Tattoos Scars, Marks, Tattoos
Alias
Alias
Denying Agency
Relationship to Victim State Statute and Subsection

Miscellaneous Information

Record Identification

1. Name (NAM)
 - a. If the name provided in the NAM fields does not exactly match the name that was provided when the record was created, the original name will be overwritten with the new value.
2. NRI Number (NRI)
 - a. NICS Record Identifier.
3. ARI Number (ARI)
 - a. Agency Record Identifier.

Modifiable Fields

1. Sex (SEX)
2. Date of Birth (DOB)
3. Category of Prohibited Persons (PCA)
 - a. If modifying the PCA to be C, A2, MC, or M2, then EXP is mandatory.
 - b. If modifying the PCA to be a D or MD, then EXP is not applicable.
 - c. If modifying the PCA to be an I or MI, the Relationship to Victim (RTV) and State Statute and Subsection (SST) fields are mandatory.
 - d. If modifying the PCA to be a J, the SPC (State Prohibited Category Code) is mandatory.

NICS Lesson Plan

4. ARI Number (ARI)
 - a. Agency Record Identifier.
5. State Prohibited Category Code (SPC)

Identifying Information

1. Race (RAC)
2. Residence State (SOR)
3. Date of Expiration (EXP)
 - a. This is the last date (either current or future date) when the information in the NICS Index record will contact valid disqualifying information.
 - b. The EXP may be mandatory for records with PCA of J. For a list of allowable SPC values, refer to NICS State Prohibitor Statute Data Code Table.
4. Agency Case Number (OCA)
5. Height (HGT)
6. Weight (WGT)
7. Place of Birth (POB)
8. Eye Color (EYE)
9. Hair Color (HAI)
10. Miscellaneous Number (MNU) (Two Fields)
11. Social Security Number (SOC) (Two Fields)
12. Scars, Marks, and Tattoos (SMT) (Two Fields)
13. Alias (AKA) (Two Fields)
14. Denying Agency (DNY)
15. Relationship to Victim (RTV)
16. State Statute and Subsection SST)
17. Miscellaneous Information (MIS)

NICS Lesson Plan

VIII. Cancel

Only the entering agency can cancel a record. The record to be canceled is identified by the name and either the NRI or ARI Number.

Cancel Denied Person (XDP)

The screenshot shows a web form titled "XDP - Cancel NICS Index Record". It is divided into three main sections:

- Header Information:** Contains a dropdown menu for "ORI" and a text input field for "* Requestor".
- Required Information:** Contains a text input field for "* Name" and a dropdown menu for "* RDQ".
- One of the Following:** Contains two text input fields, one for "NRI #" and one for "ARI #".

At the bottom of the form are three buttons: "Submit", "Clear", and "Close".

Required Information

1. Name (NAM)
 - a. The name provided in the NAM Field must exactly match the name that was provided when the record was created
2. Relief from Disabilities Question (RDQ)
 - a. RDQ is mandatory and represents the following information that must be provided by all agencies when cancelling a NICS Index record:
Is the deletion of this NICS Index Record due to the operation of the NIAA?
The permissible values for RDQ are Y (Yes) or (No).

One of the Following

1. NRI Number (NRI)
 - a. NICS Record Identifier (NRI).
2. ARI Number (ARI)
 - a. Agency Record Identifier.

IX. Query

Only an agency from within the same state may view a record entered by another agency (a validation check of the first two characters of the ORI will be performed). The record to be Displayed is identified by either the NRI or ARI number.

NICS Lesson Plan

Query Denied Person (QDP)

(Will return a positive response if the individual has an entry in the NDTF.)

One of the Following

1. NRI Number (NRI)
 - a. NICS Record Identifier.
2. ARI Number (ARI)
 - a. Agency Record Identifier.

QNP Query NICS All Protection Orders

I. Purpose

Allowing NICS (National Instant Criminal Background Check System) checks for the purpose of conducting background checks before returning firearms to their owners or a family member.

II. Objectives

Upon completion of this lesson, the user will be able to answer questions related to NICS Transaction File.

III. Background

Historically, some states have elected to serve in a point of contact (POC) capacity for the purpose of performing some or all NICS background checks, prior to the proposed transfer of firearms as mandated by the Brady Handgun Violence Prevention Act of 1993 (Brady Act). Several years ago, The FBI Criminal Justice Information Services authorized criminal justice agencies to access the NICS prior to disposing of a firearm to the original owners or other potential transferees. While generally agreed upon as a best practice, this is not mandated and criminal justice agencies are not required to access the NICS as part of their business process.

NICS Lesson Plan

After the Indiana Courts have made a determination that a person meets the requirements listed in Indiana Code 35-47-1-7, the court makes an entry in the Indiana Court Information Technology Extranet (INCite). This entry passes through the Indiana State Switch to make a NICS entry. The Indiana Supreme Court Trial Court Technology (formerly JTAC) ORI is used on behalf of the courts.

IDACS recommends agencies begin using NCIC Message Key "QNP – Query All NICS Records" for the purpose of returning firearms in their possession to the owner or a family member. Although the agency case number (OCA) is not currently not a required field, you MUST have supporting documentation, including a case number, for ALL QNP queries. These transactions should be logged electronically or hard-copy and kept for no less than a year (same as III logs).

Some Fields are optional, the record will be more complete and the background check more accurate if all available information is provided.

The NICS Indices contains information provided by local, state, tribal, and federal agencies of persons prohibited from receiving firearms under federal or state law. The NICS Indices contains prohibiting information which may not be found in the NCIC or the III.

This NICS is a national system that checks available records in the NCIC, III, and the NICS Indices to determine if prospective transferees are disqualified from receiving firearms.

This is an electronic search request from a state agency to NICS via the NCIC requesting a search of the NCIC, III, NICS Index, and ICE databases. Upon receipt of the Agency Search Request, NICS does a search of its own database (NICS Index), sends a QWA to NCIC, sends a QH (Purpose Code "F") to III, and sends an IAQ to ICE (if CTZ is "F").

NICS Lesson Plan

Query All NICS Records (QNP)

QNP - Query All NICS Records

Header Information

ORI

* Requestor

Required Information

* Name (NAM)

* Sex (SEX)

* Race (RAC)

* Date of Birth (DOB)

* Residence State (SOR)

* Purpose (PUR)

* Agency Case #

Identifying Information

E.F. License # (FFL)

S.F. License # (SFL)

State Transaction # (STN)

Attention (ATN)

Citizenship (CTZ)

Country of Citizenship (COC)

Country of Citizenship (COC)

Country of Citizenship (COC)

Exception Documentation Code (EXC)

Place of Birth (POB)

Height (HGT)

Weight (WGT)

Social Security # (SOC)

Miscellaneous # (MNU)

Required Information

1. Name (NAM)
2. Sex (SEX)
 - a. F-Female, M-Male, U-Unknown.
3. Race (RAC) There may be multiple occurrences for each subject.
 - a. New Codes for NICS:
 - A – Asian
 - B – Black or African American
 - H – Hispanic or Latino
 - I – American Indian or Alaskan Native
 - P – Native Hawaiian or Other Pacific Islander
 - U – Unknown
 - W – White
4. Date of Birth (DOB)
5. Residence State (SOR)
 - a. Must match the State of Purchase (derived from the first two characters of the ORI) when a Purpose ID of 01 (Sale of hand gun) or 03 (Sale of Other (Frame, Receiver, etc.) is given.

NICS Lesson Plan

6. Purpose ID (PUR)
- a. Note: When submitting an Agency Search Request with multiple Purpose IDs (PUR), submit the Purpose IDs in numeric order. It has been reported that entering the Purpose IDs out of order *example: 10. 09 instead of 09, 10) returns a system error.

Chose the appropriate code: (Not used – 04, 08, 12)

- 01 – Sale of hand gun
- 02 – Sale of long gun
- 03 – Sale of other (Frame, Receiver, etc.)
- 05 – Pre-pawn of hand gun
- 06 – Pre-pawn of long gun
- 07 – Pre-pawn of other (Frame, Receiver, etc.)
- 09 – Redemption of hand gun
- 10 – Redemption of long gun
- 11 – Redemption of other (Frame, Receiver, etc.)
- 13 – Test**
- 14 – Gun permit of any type
- 15 – Explosives – Responsible Persons
- 16 – Explosives – Possessor
- 17 – Explosives – State Check
- 18 – Explosives – Responsible Person – Renewal
- 19 – National Firearms Act background check
- 20 – ATF Firearms Licensee background check
- 21 – Nuclear Regulatory Commission background check
- 22 – Disposition of hand gun
- 23 – Disposition of long gun
- 24 – Disposition of other (Frame, Receiver, etc.)
- 25 – Rental of hand gun
- 26 – Rental of long gun
- 27 – Private Sale hand gun
- 28 – Private Sale long gun
- 29 – Private Sale other
- 30 – Private Sale Returned to Seller hand gun
- 31 – Private Sale Returned to Seller long gun
- 32 – Private Sale Returned to Seller other
- 33 – Recheck
- 34 – Permit Recheck

7. Originating Agency Case Number (OCA)
- a. Is Mandatory when Purpose is 22, 23, or 24.

Identifying Information

1. Federal Firearms License (FFL)
- a. FFL or SFL is Mandatory, except when a Purpose ID of 14 is given and the agency is a permit agency, when a Purpose ID of 13 is used for a Test Search or when a Purpose ID of 22, 23, or 24 is used for a Disposition of Firearms search.

NICS Lesson Plan

- b. Codes:
1. Position 1 1 – 9, excluding 2
 2. Position 2-3 01 – 99
 3. Position 4-6 000 – 999
 4. Position 7-8
 - 01 – Dealer in Firearms other than Destructive Devices
 - 02 – Pawnbroker FFL
 - 07 – Manufacture of Firearms other than Destructive Devices
 - 08 – Importer of firearms other than Destructive Devices
 - 09 – Dealer of Destructive Devices
 - 10 – Manufacturer of Destructive devices
 - 11 – Importer of Destructive Devices
 - 97 – Nuclear Regulatory Commission
 - 98 – Explosives
 - 99 – Explosives
 5. Position 9 One-character numeric denoting last number of year. Valid values are 0-9.
 6. Position 10 One-character alpha representing the month (e.g. A=January). Valid values are A – M, excluding “I”.
 7. Position 11-15 Must be numeric.
2. State Firearms License Number (SFL)
 - a. A status unique number for a firearms license.
 - b. FFL or SFL is Mandatory, except when a Purpose ID of 14 is given and the agency is a permit agency, when a Purpose ID of 13 is used for a Test Search or when a Purpose ID of 22, 23, or 24 is used for a Disposition of Firearms search.
 3. State Transaction Number (STN)
 - a. A state-assigned transaction number.
 4. Attention (ATN)
 5. Citizenship (CTZ)
 - a. C-U.S. Citizen, F-Non U.S. Citizen, N-Non U.S. Citizen – No IAQ requested.
 6. Country of Citizenship (COC)
 - a. If CTZ is provided and has been successfully validated, at least one valid Country of Citizenship must be provided in the search request.
 - b. If CTZ is given as “C”, at least one COC must be U.S.
 - c. See EXC Field for additional information.
 7. Country of Citizenship (COC)
 8. Country of Citizenship (COC)

NICS Lesson Plan

9. Exception Documentation Code (EXC)
 - a. Non-Immigrant with Visa Exception (EXC) can have the values of Y-Yes, N-No, and X (Not answered).
 - b. POB, MNU, and EXC are Mandatory for CTZ of "F" or "N". If CTZ is given as "C" or "N" and the POB and MNU fields are provided, they will still be validated. The EXC will not be updated if the CTZ is "C".
(Note: AR numbers (Alien Registration Number) or I9 numbers (Non Immigrant Admission Number (I94)) are the mandatory values for the MNU fields for searches containing a CTZ of F.) See Nlets for additional information.
10. Place of Birth (POB)
11. Height (HGT)
12. Weight (WGT)
13. Social Security Number (SOC)
14. Miscellaneous Number (MNU)

Example of a Response:

DATE: 10/12/18 TIME: 11:14
 SLF/
 NAM/LAST, FIRST M SEX/F RAC/W DOB/10561101
 PUR/22 SOR/IN CTZ/
 RACE FLAG/W
 STATE SEARCH RESPONSE – COMPLETE
 NCIC – NO RECORDS FOUND
 III - NO RECORDS FOUND
 NICS – NO RECORDS FOUND
 NTN/100H9RRM8
 NICS – INDEX – BEGIN
 NO NICS INDEX HITS
 NCIC – BEGIN
 NO NCIC WANT DOB/ 19561101 NAM/FIRST M LAST SEX/F RAC/W
 NCIC – END
 III – BEGIN
 WVNICS000
 NO IDENTIFIABLE RECORD IN THE NCIC INTERSTATE IDENTIFICATION INDEX III
 FOR NAME/LAST, FIRST M. SEX/F.RAC/W.DOB/19561101.PUR/F.
 ATN/100H9RRM8 12JAN2018 1114.
 END
 III-END
 NICS-END

NICS Lesson Plan

NICS DENIED TRANSACTION FILE NOTIFICATION (NTDF)

The NICS Denied Transaction File in NCIC is designed to share information regarding individuals who, having been determined to be prohibited persons according to the Brady Handgun Violence Prevention Act of 1993 (Brady Act), have been denied as a result of a National Instant Criminal Background Check System (NICS) background check. The data in the NDTF will enhance officer and public safety and provide investigative assistance.

If the status of a NICS denied transaction is subsequently changed, such as the result of a successful appeal, then the corresponding NDTF record will be removed from NCIC. To ensure that NICS deny transactions which have subsequently incurred a status change are not stored in NCIC, in accordance with the purge requirements of the Brady Act as defined by the United States Congress and federal regulation, NDTF information will not be maintained on the NCIC system logs.

Agencies requesting any QW NCIC Query Wanted Person will now receive NICS Background Check Denial Transaction File (NTDF) Data. CJIS Advisory Policy Board determined that knowledge of the denial of prohibited persons would alert the criminal justice agency to the subject's tendency to possess, attempt to possess, or use of firearms. This awareness may suggest a host of possible actions or precaution that the law enforcement or criminal justice agencies may want or need to take during their encounter with the subject. With the additional data, the search results may include multiple hits to the subject/detainee spanning six months with the QW query.

As part of the NCIC process, various notifications are required to be sent to the originating agency identifier (ORI) and querying agency during a QW query. Your agency may begin to receive these unsolicited notifications due to your denial record being part of the NDTF or receiving a positive hit on a NDTF record during a QW query.

The following is a description of these notification messages:

1. Delayed Inquiry Hit Notification: \$.H. Administrative Message is sent to the ORI entering a record which resulted in a hit response for an inquiry made within the last five days. All inquiry transactions to the NCIC are routed a queue for a period of five days. If a record is entered that now hits on the descriptors of that inquiry in that five-day window, a notification is produced to the ORI that entered the NDTF record.
2. Delayed Inquiry Hit Response Notification: \$.H. Administrative Message is sent to the ORI of an inquiring agency when a hit response is generated because of a subsequent entry to the NDTF. The inquiry transaction will potentially receive hit responses for five days after the initial inquiry was made.

The existence of a record within the NDTF does not require a Hit Confirmation by the inquiring agency; however, the agency may find cause to contact the Originating Agency for additional information. Agencies which perform the NICS Background Checks and provide final denial statuses to the NICS may experience an increase in calls due to Law Enforcement encounters with subjects that have been denied since the NDTF will now be included in a more routing query of the NCIC.

NICS Lesson Plan

Follow-Up Query (QNR)

QNR - Query NICS State Records

Header Information

ORI

* Requestor

Required Information

* NTN #

One of the Following

FBI #

NCIC #

NRI #

Optional Information

Attention

(Will return a positive response if the individual has an entry in the NDTF with NTN and NRI provided in NCIC to the EDP.)

Required Information

1. NTN Number (NTN)
 - a. NICS Transaction Number

One of the Following

1. FBI Number (FBI)
2. NCIC Number (NIC)
3. NRI Number (NRI)
 - a. NICS Record Identifier.

Optional Information

1. Attention (ATN)

NICS Lesson Plan

Query Denied Person Transaction File (QND)

QND - Query NDTF Inquiry (QND)

Header Information

ORI

Control Field

* Requestor

by NAM and DOB or MNU or SOC | by NAM and NTN | by NIC

* Name (NAM)

Date of Birth (DOB)

Sex (SEX)

Race (RAC)

Miscellaneous # (MNU)

Social Security # (SOC)

Submit Clear Close

(Will return a positive response if the individual has an entry in the NDTF and attempted to purchase a firearm for which he has been denied by NICS.)

By NAM and DOB or MNU or SOC

1. Name (NAM)
2. Date of Birth (DOB)
3. Sex (SEX)
4. Race (RAC)
5. Miscellaneous Number (MNU)
6. Social Security Number (SOC)

By NAM and NTN

1. Name (NAM)
2. NICS Transaction Number (NTN)

By NIC

1. NCIC Number (NIC)

NICS Lesson Plan

Denial Notification (NDN)

NDN - Denial Notification

Header Information

ORI

* Requestor

Required Information

* NTN #

At Least One of the Following

NRI #

NCIC #

FBI #

SRI #

Miscellaneous Information

The Agency Denial Notification is submitted by a state agency to the NICS and provides notification that a particular state-initiated NTN has been denied.

This is an electronic message from an agency to NICS via NCIC. The message tells NICS that a gun buyer was considered ineligible to receive a gun based on the response data from NICS. NICS uses this notification to retain all records associated with a denied transaction based on the NTN in accordance with the Brady Act.

Required Information

1. NICS Transaction Number (NTN)

At Least One of the Following

1. NRI Number (NRI)
 - a. NICS Record Identifier.
2. NCIC Number (NIC)
3. FBI Number (FBI)
4. SRI Number (SRI)

NICS/FBI Message Field Codes

DEFINITIONS – The definitions that follow describe the Message Fields Codes (MFCs) used in the messages and responses exchanged between the states and the NICS. Each MFC definition includes a description and, where appropriate, format, length, applicable special edits or characters, and a list of applicable messages for each MFC. The applicable message will be an annotated response if the MFC is applicable only to the response to a message.

ACTION CODE

DESCRIPTION: A code displayed on NICS Index records submitted by the ATF to differentiate between Add, Delete, and Modify records.

PERMISSIBLE VALUES: A = Add, M = Modify, D = Delete.

AGENCY RECORD IDENTIFIER

MFC: ARI.

DESCRIPTION: The record number assigned to a NICS Index record by the agency who provided the record data. The combination of date source and ARI must always be unique.

NOTE: Indiana State Police recommends it to be the Cause Number.

LENGTH: 25.

FORMAT: Alphanumeric.

SPECIAL CHARACTERS: hyphen (-), blank space (DVA Only).

ALSO KNOWN AS

MFC: AKA.

DESCRIPTION: Other names by which a subject has been known.

LENGTH: 50.

FORMAT: Alphanumeric.

ATF Relief from Disabilities Question

MFC: RDQ.

DESCRIPTION: A question required to be answered when attempting to cancel or delete a NICS Index record. The question is: Is the deletion of the NICS Index record due to an ATF-approved Relief from Disabilities?

LENGTH: 1.

FORMAT: Alpha.

PERMISSIBLE VALUES: Y (Yes), N (No).

CADENCE

MFC: CAD.

DESCRIPTION: The name suffix associated with the subject of a record.

LENGTH: 4.

FORMAT: Alphabetic.

SPECIAL CHARACTERS: period (.).

PERMISSIBLE VALUES: II, III, IV, V, VI, VII, VIII, IX, X, JR, SR.

CITIZEN

MFC: CTZ.

DESCRIPTION: An optional field indicating whether a subject is a citizen of the United States.

LENGTH: 1.

FORMAT: Alpha.

PERMISSIBLE VALUES: C (Citizen), F (Non-U.S. Citizen), N (Non-U.S. Citizen, no IAQ).

COUNTRY OF CITIZENSHIP

MFC: COC.

DESCRIPTION: A code specifying the country or countries, up to 3, in which the subject claims citizenship.

LENGTH: 2.

FORMAT: Alphanumeric.

See dropdowns for list.

DATA SOURCE

DESCRIPTION: The Federal Agency or State that is the source for a NICS Index record.

LENGTH: 3.

FORMAT: Alphanumeric.

TUNABLE: Yes.

See dropdowns for list.

DATE OF BIRTH

MFC: DOB.

DESCRIPTION: The subject's date of birth, composed of the individual day, month, and year.

FORMAT: Alphanumeric.

PERMISSIBLE VALUES: E-Check Registration – The DOB may only be provided as MMDDYYYY and partials are not accepted.

???

DENYING AGENCY

MFC: DNY.

DESCRIPTION: The agency who denied the NICS transaction of an individual in the NICS Index Federally Denied Persons File.

LENGTH: 50.

FORMAT: Alphanumeric.

SPECIAL CHARACTERS: `~!@#V\$%^&*()-_+=[]{}|\'":?/.<>

EXPIRATION DATE

MFC: EXP.

DESCRIPTION: This is the last date (either current or future date) when the information in the NICS Index record will contain valid disqualifying information.

LENGTH: 7.

FORMAT: Date.

SPECIAL CHARACTERS: /.

EYE COLOR

MFC: EYE.

DESCRIPTION: The eye color of a subject.

LENGTH: 3.

FORMAT: Alphanumeric.

See codes in drop downs.

FFL ID

MFC: FFL.

DESCRIPTION: A unique identifier for a Federal Firearms licensee.

LENGTH: 15.

FORMAT: Alphanumeric.

PERMISSIBLE VALUES: See codes in drop downs.

FIRST NAME

MFC: FIR.

DESCRIPTION: The subject's first name.

LENGTH: 30.

FORMAT: Alphabetic.

SPECIAL CHARACTERS: hyphen (-), blank space. The follow special characters is allowed for E-Check Registration and E-Check User Accounts only: period (.).

PERMISSIBLE VALUES:

1. Maximum length of FIR + MID + SURNAME = 130 BYTES.
2. First position must not be a blank or hyphen.
3. Two or more consecutive blanks or hyphens between characters are invalid.
4. Hyphen must be preceded and followed by alpha characters.

GENDER

MFC: SEX.

DESCRIPTION: The gender of a subject or applicant.

LENGTH: 1.

FORMAT: Alpha.

PERMISSIBLE VALUES: F = Female, M = Male, U = Unknown.

HAIR COLOR

MFC: HAI.

DESCRIPTION: Hair color of a subject.

LENGTH: 3.

FORMAT: Alphanumeric.

See codes in drop downs.

HEIGHT

MFC: HGT.

DESCRIPTION: The height of a subject.

LENGTH: 3.

FORMAT: Alphanumeric.

PERMISSIBLE VALUES:

1. First position must be feet.
2. Positions 2 and 3 must be inches with fractions of an inch rounded off to the nearest inch.
3. If nothing is entered in the HGT field, it will be left blank.
4. The values allowed are 400-711 or 000 for missing or unknown.

LAST NAME

MFC: SUR.

DESCRIPTION: The last name of a subject.

LENGTH: 50.

FORMAT: Alphabetic.

SPECIAL CHARACTERS: space, dash (-). The following special character is allowed for E-Check registration and E-Check User Accounts only: period (.).

MIDDLE NAME

MFC: MID.

DESCRIPTION: The subject's middle name or initial.

LENGTH: 50.

FORMAT: Alphabetic.

SPECIAL CHARACTERS: hyphen (-), blank space. The following special character is allowed for E-Check Registration and E-Check User Accounts only: period (.).

PERMISSIBLE VALUES:

1. Maximum length of FIR + MID + SURNAME = 130.

2. First position must not be a blank or hyphen.
3. Two or more consecutive blanks or hyphens between characters are invalid.
4. Hyphen must be preceded and followed by alpha characters.

MISCELLANEOUS COMMENTS

MFC: MIS.

DESCRIPTION: Comments captured against a NICS Index Record (e.g. reason for cancellation).

LENGTH: 1000.

FORMAT: Alphanumeric.

PERMISSIBLE VALUES: Must be ASCII printable characters.

MISCELLANEOUS NUMBER

MFC: MNU, MISC_NUMBER.

DESCRIPTION: Selected types of miscellaneous numbers associated with a person.

LENGTH: 17.

SPECIAL CHARACTERS: hyphen (-).

PERMISSIBLE VALUES: Refer to Appendix G of the NICS SRS

1. Two letter prefix (MNA) + Unique number (MNN), unless MNU is AR or I9.
2. First two characters must be in the Code Table MNU.
3. Interspersed blanks are invalid.
4. Only the third character must be a hyphen.
5. All other non-numeric and non-alpha characters will be stripped out of the subject search field and data to be entered into the NICS Index.
6. AR: 7-9 characters. Allowable characters are numeric only. These values do not include the prefix.
7. I9: Minimum length is 11. Maximum length is 11. Allowable characters are numeric only. These values do not include the prefix.

See codes in the drop downs.

NOTE: 1. All characters following the hyphen (-) for external codes "AF" and "AS" must be numeric.

2. I9 is NICS-unique and should not be passed to NCIC in a QW.

NAME

MFC: NAM.

DESCRIPTION: Name by which a person is known or designated.

LENGTH: 150.

FORMAT: Alphanumeric.

SPECIAL CHARACTERS: Comma, hyphen, blank.

PERMISSIBLE VALUES:

Format: SUR, FIR, MID CAD.

1. First position must not be blank, comma, or hyphen.
2. Must contain one comma; none or more than one is invalid.
3. Comma must not be preceded by a blank or hyphen.

4. Two or more consecutive blanks or hyphens between characters are invalid.
5. Hyphen must be preceded and followed by alpha characters.

NICS RECORD IDENTIFIER

MFC: NRI.

DESCRIPTION: The unique identifier for a record in the NICS Index.

LENGTH: 10.

FORMAT: Numeric.

NICS TRANSACTION NUMBER

MFC: NTN.

DESCRIPTION: A unique number assigned to a NICS transaction. Can be entered with or without a hyphen. If hyphen is provided, it will not be stored in the NICS.

LENGTH: 10.

FORMAT: alphanumeric.

SPECIAL CHARACTERS: hyphen (-) is allowed in position 5 only.

ORIGINATING AGENCY

MFC: ORI.

DESCRIPTION: An identifying number assigned by the NCIC (or the CJIS Division) to each agency interacting with a CJIS system including NICS.

LENGTH; 9.

FORMAT: Alphanumeric.

ORIGINATING AGENCY CASE NUMBER

MFC: OCA.

DESCRIPTION: The local identification number assigned to the subject by the local agency. A local identification number can be stored as a Arrest Case Number, Judicial Case Number.

LENGTH: 20.

FORMAT: Alphanumeric.

SPECIAL CHARACTERS: hyphen, comma, blank, slash.

PLACE OF BIRTH

MFC: POB.

DESCRIPTION: A code that specifies the state, territory, province, or country in which a subject was born. If originating from a state, the length will be 2, validated in the POB Code table. If originating from any other source, the length will be 40 with no validation.

LENGTH: 40.

FORMAT; Alphanumeric.

See codes in drop downs.

PROHIBITED CATEGORY CODE

MFC: PCA.

DESCRIPTION: A code representing the reason(s) for the denial or the reason for a NICS Index submission. It can be one of the Brady Act categories or represent a Denied Person record submitted by a State.

LENGTH: 2.

FORMAT: Alphanumeric.

See codes in drop downs.

PURPOSE ID

MFC: PUR.

DESCRIPTION: A unique identifier which identifies the reason or purpose of the background check.

LENGTH: 5.

FORMAT: Numeric.

See codes in drop downs.

RACE

MFC: RAC, RACE_CODE.

DESCRIPTION: The race of a subject.

LENGTH: 1.

FORMAT: Alphanumeric.

See codes in drop downs.

RELATIONSHIP TO VICTIM

MFC: RTV.

DESCRIPTION: A numeric code that represents the relationship of the defendant to the victim of a misdemeanor crime of domestic violence.

LENGTH: 2.

FORMAT: Numeric.

See codes in drop downs.

SCARS, MARKS, AND TATTOOS

MFC: SMT.

DESCRIPTION: A code which specifies any scars, marks, or tattoos for a subject.

LENGTH: 10.

FORMAT: Alphanumeric.

See codes in drop downs.

SOCIAL SECURITY NUMBER

MFC: SOC.

DESCRIPTION: The Social Security Number of a subject. Note: The Social Security Number will not be validated when entered in the SSN fields on the NTN Inquiry Window.

LENGTH: 9.

FORMAT: Alphanumeric.

PERMISSIBLE VALUES:

1. Cannot be all zeroes.
2. Cannot be all nines.
3. Must be all numeric.
4. Must not be <001010001.
5. Must not have 8 or 9 in the first character.
6. Must not have 00 in the fourth and fifth positions.

STATE FIREARMS LICENSE NUMBER

MFC: SFL.

DESCRIPTION: A status unique number for a firearms license.

LENGTH: 15.

FORMAT: Alphanumeric.

STATE OF PURCHASE

MFC: SOP.

DESCRIPTION: The state, U.S. province, or U.S. territory where the firearms is being purchased.

LENGTH: 2.

FORMAT: Alpha.

See codes in drop downs.

STATE OF RESIDENCE

MFC: SOR.

DESCRIPTION: Code representing the state, U.S. province, or U.S. territory in which a subject currently resides.

LENGTH: 2.

FORMAT: Alphanumeric.

See codes in drop downs.

STATE STATUTE AND SUBSECTION

MFC: SST.

DESCRIPTION: The state statute and subsection of the crime entered as a prohibiting records in the NICS Index.

LENGTH: 50.

FORMAT: Alphanumeric.

SPECIAL CHARACTERS: parentheses (), colon (:), semi-colon (;), dash (-), brackets [], curly braces {}, ampersand (&), number (#), period (.), comma (,), Section, star (*), underscore (_), and spaces.

STTATE TRANSACTION NUMBER

MFC: STN.

DESCRIPTION: A state-assigned transaction number.

LENGTH: 12.

FORMAT: Alphanumeric.

SURNAME

MFC: SUR.

DESCRIPTION: The subject's last name.

LENGTH: 50.

FORMAT: Alphanumeric.

SPECIAL CHARACTERS: hyphen (-), blank.

PERMISSIBLE VALUES:

1. Maximum length of FIR + MID + SURNAME = 130.
2. First position must not be a blank or hyphen.
3. Two of more consecutive blanks or hyphens between characters are invalid.
4. Hyphen must be preceded and followed by alpha characters.

UNIQUE PERSONAL IDENTIFICATION NUMBER

MFC: UPIN.

DESCRIPTION: A unique number assigned to every individual whose record(s) is entered into the VAF (Voluntary Appeal File).

LENGTH: 8.

FORMAT: Alphanumeric.

PERMISSIBLE VALUES: Uppercase or lowercase "V" followed by 5 to 7 numbers and/or uppercase or lowercase consonants. Vowels will not be accepted in this field.

UNIVERSAL CONTROL NUMBER

MFC: FBI.

DESCRIPTION: The Universal Control Number (formerly FBI Number) associated with the prohibiting record.

LENGTH: 9.

FORMAT: Alphanumeric.

WEIGHT

MFC: WEIGHT, WGT.

DESCRIPTION: The weight of the subject.

LENGTH: 3.

FORMAT: Numeric.

SPECIAL EDITS: For NICS Index Add or Modify requests, if nothing is entered in the WGT field, it will be blank.

