

# **NICS Interface Control Document Appendix F**

## **Federal Agency Message Formats**

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## F.1 NICS Index Interface

The agencies have two modes to interface with the NICS. The first provides an electronic connection between the NICS and the agencies. It is an application layer that utilizes the National Crime Information Center (NCIC) Front-End (FE) to communicate with the NICS. The agencies use this interface to electronically submit to add, modify, supplement, cancel, or display a denied person record in the NICS Index. Only the agency that originally entered the NICS Index record is authorized to submit updates to the record.

The second mode is batch data transfer on CD or diskette media for NICS Index additions, modifications, supplements, and cancellations. The section titled Electronic NICS Index Submissions describes the technical details of the agency electronic interface with the NICS. The section titled Federal Agency Batch Files provides the details of the agency batch interface with the NICS.

Agencies interact with the NICS electronically through the NCIC communications interface. Agencies maintain records in the NICS Index by sending add, cancel, modify, supplement, and display messages to the NICS. The NICS receives these messages and updates the NICS Index accordingly. The NICS validates the message structure and syntax and the data content where possible. Errors detected in the received message will cause an error message to be returned to the agency and may result in the record not being entered in the NICS Index. When providing the initial load, the NICS requests that the submissions be provided at a steady rate rather than all at once. If possible, please contact the NICS Index Liaison Analyst for further direction regarding the submission of large data sets (>5000). The message keys are as follows:

- EDP – Add NICS Index Record
- XDP – Cancel NICS Index Record
- MDP – Modify NICS Index Record
- SDP – Supplement NICS Index Record
- QDP – Display NICS Index Record

If a record in the NICS Index contains an expiration date, the NICS sends the agency a message warning the agency that the NICS Index record is about to expire. This expiration warning is sent five days before the expiration date. Then, the agency may optionally decide to extend the life of the NICS Index record by changing the expiration date. If the expiration date remains unchanged, the NICS Index record is purged on the expiration date. After a record has been purged, the only remaining fields are: NICS Record Identifier (NRI), NRI status, Last Name (which is changed to “PURGED”), prohibiting category (PCA), creation date, date of last update, expiration date, purge date, base purge date, updated by, and miscellaneous comments (MIS). The Data Source, ARI, and current miscellaneous comments are saved in the MIS field.

A second purge will take place 120 years from the Date of Birth (DOB). If the record does not contain a DOB, the purge will take place 120 years after the date that the record was created.

The second purge is a complete purge—none of the data pertaining to the record will be retained. NICS will not send a warning message prior to the second purge.

## **F.1.1 Electronic NICS Index Submissions**

### **F.1.1.1 Agency Electronic Data Flow Description**

#### **F.1.1.1.1 Agency Electronic Data Format and Content**

The agencies use the interface to submit to add, modify, supplement, cancel, or display a prohibited person record in the NICS Index. The NICS sends the response messages back to the agencies for each of the agency requests.

#### **F.1.1.1.2 Agency Electronic Exception and Error Handling**

There is only one agency error message defined for the NICS at this time—the NICS reject message. The NICS reject message has many forms as discussed in Section F.1.1.2.11.

#### **F.1.1.1.3 Agency Electronic Administrative Messages**

There is one agency administrative message defined for the NICS Index—the Agency Index Expiration Notification message.

### **F.1.1.2 Agency Electronic Messages**

The following section describes the types of electronic messages sent between NICS and the contributing agencies and the format of each.

#### **F.1.1.2.1 Agency Index Add Request**

The Agency Index Add Request is a request submitted by an agency to add a new record to the NICS Index. The format of the Agency Index Add Request is as follows:

#### **Record Layout:**

```
HDR . EDP . ORI . NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX . SEX/X . RAC/X .  
DOB/YYYYMMDD . DOB/YYYYMMDD . SOR/XX . EXP/XXXXXX . DNY/XXXXXXXXXXXXXXXXXXXXXXXXXXXX  
XXX . PCA/X . ARI/XXXXXXXXXX . OCA/XXXXXXXXXX . HGT/XXX . WGT/XXX . POB/XX . EYE/XXX  
 . HAI/XXX . MNU/XX-XXXXXXXXXX . MNU/XX-  
XXXXXXXXXX . SOC/XXXXXXXXXX . SOC/XXXXXXXXXX .  
SMT/XXXXXXXXXX . SMT/XXXXXXXXXX .  
AKA/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX . AKA/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX . MIS/X  
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX .
```

**NOTE:** The information above is broken down into: 1) Message Field Codes (i.e., NAM, SEX, RAC, etc.), 2) Separators (/), 3) agency information (XXXX...), and 4) the (.), which represents the end of the information provided by the agency. The X's above are not representative of the number of characters permitted but rather the actual data. Each element is defined in greater detail in Appendix D of the NICS/FBI Interface Control Document (ICD).

## Explanation of Agency Index Add Request Message:

This is an electronic request from an agency to the NICS via the NCIC-FE to add a record to the NICS Index. The NICS responds with an acknowledgment or rejection message. Note that multiple Also Known As (AKA), Scars, Marks and Tattoos (SMT), Miscellaneous Numbers (MNU), Date of Birth (DOB), and Social Security Number (SOC) fields can be specified.

### Notes:

1. MKE is "EDP".
2. HDR, MKE, ORI, NAM, SEX, PCA, DOB, and ARI are **mandatory** (DOB may be replaced by either the MNU or SOC).
3. SOR, DNY, OCA, HGT, WGT, POB, EYE, HAI, RAC, MNU, SOC, SMT, AKA, and MIS are **optional**.
4. The NAM field holds a maximum of 138 characters and must be provided in the following format: SURNAME (50)[comma][space]FIR(30)[space] MID(50)[space]CADENCE(4).

### SPECIAL FORMATTING:

- a. First position must not be a blank, comma, or hyphen.
- b. Must contain at least one, and only one, comma.
- c. Comma must not be preceded by a blank or hyphen.
- d. Two or more consecutive blanks or hyphens between characters are invalid.
- e. Hyphen must be preceded and followed by alpha characters.

### EXAMPLES:

Smith, John Henry  
Smith, John Henry Jr  
Smith, John H Q  
Smith, John Henry Lewis  
Castro-Ramirez, Ann-Marie Cesar

5. A DOB may be provided to NICS as a single or multiple DOB as MMDDYY or YYYYMMDD.  
If a DOB is provided as six characters (MMDDYY), only a full DOB will be accepted (example: a full DOB as six characters – 021650).  
If a DOB is provided as eight characters (YYYYMMDD), the following formats will be accepted:
  - a. A full DOB (example: 19500216)
  - b. A partial DOB, which is a date of birth that includes two of the three DOB values. Zeros are used to replace the unknown value (example: 19500200, 00000216, or 19500016).
  - c. A DOB with all zeros along with an alternate unique identifying number, such as a Social Security Number (SOC) or Miscellaneous Number (MNU). **Note:** If a 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.

6. The EXP may be provided to NICS as MMDDYY or YYYYMMDD. If the EXP length is eight characters, the NICS will assume the format to be YYYYMMDD. If the EXP length is six characters, the NICS will assume the format of the date is MMDDYY.
7. EXP is mandatory for records with a \*PCA of “C” (Unlawful User/Addicted to a Controlled Substance), “A2” (Under Indictment/Information), “MC” (Denied Person – Unlawful User/Addicted to a Controlled Substance), or “M2” (Denied Person – Under Indictment/Information).
8. The EXP is not applicable if the PCA code is “D” (Adjudicated Mental Defective/Committed to a Mental Institution) or MD (Denied Person - Adjudicated Mental Defective/Committed to a Mental Institution).
9. When an Agency Index Add is requested with valid mandatory and invalid optional fields, NICS will process the request by accepting the valid mandatory fields, rejecting the invalid optional fields, and notifying the agency with an error response.

\*For a list of allowable PCA codes, refer to **Appendix D** of the *NICS/FBI Interface Control Document (ICD)*.

**Example:**

```
6L013949324823.EDP.SD3242342.NAM/DOE,
RANK.SEX/M.RAC/W.DOB/19560223.DOB/19650223.SOR/MD.
EXP/19961212.DNY/COOK COUNTY SHERIFFS DEPT.PCA/C.OCA/934234323.
SOC/324932131.AKA/DOE, FRED.AKA/DOE, FREDDY.HGT/602.WGT/200.POB/VA.
EYE/BLK.HAI/BLK.SMT/SCAR R LEG.SMT/SC CHIN.
```

**F.1.1.2.2 Agency Index Add Response**

The Agency Index Add Response is sent from NICS to the agency in response to an Agency Index Add Request. The response indicates that the Agency Index Add Request was processed successfully. The format of the Agency Index Add Response is as follows:

---

1	2	3	4	5	6
1234567890123456789012345678901234567890123456789012345678901234567					

---

```
1 6L01HHHHHHHHHHHHHHHHH
2 BBBB BBBB
3 ACCEPT MKE/EDP
4 NAM/XXXXXXXXXXXXX, XXXXXXXXX XXXXXXXXX XXXX
5 ARI/XXXXXXXXXXXXX
6 NRI/1234567890
```

**Explanation of Agency Index Add Response Message:**

This electronic accept message is transmitted to the originating agency that sent the original Agency Index Add Request. It indicates that the Agency Index Add Request was successful.

**LINE NOTES:**

LINE NUMBER	DESCRIPTION
LINE 1:	This line contains the NICS Response Header.
LINE 2:	This line contains the ORI given in the Agency Index Add Request.
LINE 3:	This line contains the word "ACCEPT" and the MKE code EDP.
LINE 4:	This line contains the name of the subject inserted into the NICS Index.
LINE 5:	This line contains the ARI number inserted into the NICS Index.
LINE 6:	This line contains the NRI number that was created when the NICS Index record was inserted. The NRI Number should be retained in case the NICS Index record needs to be referenced at a later date.

**F.1.1.2.3 Agency Index Modify Request**

The Agency Index Modify Request is a request submitted by an agency to modify an existing NICS Index record. The format of the Agency Index Modify Request is as follows:

**Record Layout:**

```
HDR . MKE . ORI . NAM /XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX .
NRI /XXXXXXXXXX . ARI /XXXXXXXXXXXXX . SEX /X . RAC /X . DOB /YYYYMMDD ; YYYYMMDD . DOB /Y
YYYYMMDD ; YYYYMMDD . SOR /XX . EXP /MMDDYY . DNY /XXX . PCA /X .
OCA /XXXXXXXXXX . HGT /XXX . WGT /XXX . POB /XX . EYE /XXX . HAI /XXX .
MNU /XX -XXXXXXXXXX ; XX -XXXXXXXXXXXXX . SOC /XXXXXXXXXX ; XXXXXXXXXXX .
SOC /XXXXXXXXXX ; XXXXXXXXXXX . SMT /XXXXXXXXXXXXX ; XXXXXXXXXXX . SMT /XXXXXXXXXXXXX ; XXXXX
XXXXX . AKA /XXXXXXXX , XXXXXX XXXXXXX ; XXXXXXXXXXX , XXXXXXXXXXX
XXXXXXXX . AKA /XXXXXXXX , XXXXXXXXXXX XXXXX ; XXXXXXXXXXX , XXXXXXXXXXX
XXXXXXXX . MIS /XXXXXXXXXXXXXXXXXXXXXXXXXXXXX .
```

**NOTE:** The information above is broken down into: 1) Message Field Codes (i.e., NAM, NRI, etc.), 2) Separators (/), 3) agency information (XXXX...), and 4) the (.), which represents the end of the information provided by the agency. The X's above are not representative of the number of characters permitted but rather the actual data. Each element is defined in greater detail in Appendix D of the NICS/FBI Interface Control Document (ICD).

**Explanation of Agency Index Modify Request Message:**

This is an electronic request from an agency to the NICS via the NCIC-FE to modify a record in the NICS Index. 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. The NICS responds with an acknowledgment or rejection message.

For AKA, SMT, MNU, DOB, and SOC fields, the proper modification format is

```
MFC/xxxxxxxxxx;zzzzzzzzzz
```

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

#### Notes:

1. MKE is "MDP".
2. HDR, MKE, ORI, NAM are **mandatory**. NRI or ARI is also **mandatory**.
3. SEX, RAC, DOB, SOR, EXP, DNY, PCA, OCA, SOC, AKA, HGT, WGT, POB, EYE, HAI, SMT, MNU, and MIS are **optional**. For a list of allowable PCA Codes, refer to **Appendix D** of the *NICS/FBI Interface Control Document (ICD)*.
4. The NAM field holds a maximum of 138 characters and must be provided in the following format: SURNAME (50)[comma][space] FIR(30)[space] MID(50)[space]CADENCE(4).

#### SPECIAL FORMATTING:

1. First position must not be a blank, comma, or hyphen.
2. Must contain at least one, and only one, comma.
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.

#### EXAMPLES:

Smith, John Henry  
Smith, John Henry Jr  
Smith, John H Q  
Smith, John Henry Lewis  
Castro-Ramirez, Ann-Marie Cesar

5. The DOB field may be used to modify a current NICS Index Record DOB field as MMDDYY or YYYYMMDD.  
If a DOB is provided as six characters (MMDDYY), only a full DOB will be accepted (example: a full DOB as six characters – 021650).

If a DOB is provided as eight characters (YYYYMMDD), the following formats will be accepted:

- a. A full DOB (example: 19500216)
- b. A partial DOB, which is a date of birth that includes two of the three DOB values. Zeros are used to replace the unknown value (example: 19500200, 00000216, or 19500016).

**Note: The DOB field cannot be modified with all zeros.**

- 6. The EXP may be provided to NICS as MMDDYY or YYYYMMDD. If the EXP length is eight characters, the NICS will assume the format to be YYYYMMDD. If the EXP length is six characters, the NICS will assume the format of the date is MMDDYY.
- 7. If modifying the PCA to be a “C” (Unlawful User/Addicted to a Controlled Substance), “A2” (Under Indictment/Information), MC (Denied Person – Unlawful User/Addicted to a Controlled Substance), or M2 (Denied Person – Under Indictment/Information, then EXP is **mandatory**.
- 8. If modifying the PCA to be a “D” (Adjudicated Mental Defective/Committed to a Mental Institution) or MD (Denied Person – Adjudicated Mental Defective/Committed to a Mental Institution), the EXP is not applicable. The NICS system will reject the EXP if it is provided for these PCA codes
- 9. If MIS is given, it will overwrite any miscellaneous comments already in the record.

**Example:**

```
6L013949324823.MDP.SD3242342.NAM/DOE,FRANK.NRI/1234567890.SOC/233289232;233889232.
```

**F.1.1.2.4 Agency Index Modify Response**

An Agency Index Modify Response is sent from NICS to the agency in response to an Agency Index Modify Request. The response indicates that the Agency Index Modify Request was processed successfully. The format of the Agency Index Modify Response is as follows:

---

1	2	3	4	5	6
1234567890123456789012345678901234567890123456789012345678901234567					

---

```
1 6L01HHHHHHHHHHHHHHHHH
2 BBBB BBBB
3 ACCEPT MKE/MDP
4 NAM/XXXXXXXXXXXX, XXXXXXXX XXXXXXXX XXXX
5 ARI/XXXXXXXXXXXX
6 NRI/XXXXXXXXXXXX
```

**Explanation Agency Index Modify Response Message:**

This electronic accept message is transmitted to the originating agency that sent the original Agency Index Modify Request. It indicates that the Agency Index Modify Request was successful.

**LINE NOTES:**

LINE NUMBER	DESCRIPTION
LINE 1:	This line contains the NICS Response Header.
LINE 2:	This line contains the ORI given in the Agency Index Modify Request.
LINE 3:	This line contains the word "ACCEPT" and the MKE code MDP.
LINE 4:	This line contains the name of the subject in the NICS Index.
LINE 5:	This line contains the ARI number in the NICS Index.
LINE 6:	This line contains the NRI number.

**F.1.1.2.5 Agency Index Supplement Request**

An Agency Index Supplement Request is a request submitted by an agency to add supplemental data to an existing NICS Index record. The format of the Agency Index Supplement Request is as follows:

```

HDR . MKE . ORI . NRI /XXXXXXXXXXXXXXXXX . ARI /XXXXXXXXXXXXX .
NAM /XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX .
MNU /XX-XXXXXXXXXXXXX . MNU /XX-XXXXXXXXXXXXX .
SOC /XXXXXXXXXXXXX . SOC /XXXXXXXXXXXXX .
AKA /XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX .
AKA /XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX .
SMT /XXXXXXXXXXXXX . SMT /XXXXXXXXXXXXX . DOB /YYYYMMDD . DOB /YYYYMMDD .
MIS /XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX .
  
```

**NOTE:** The information above is broken down into: 1) Message Field Codes (i.e., NRI, ARI, etc.), 2) Separators (/), 3) agency information (XXXX...), and 4) the (.), which represents the end of the information provided by the agency. The X's above are not representative of the number of characters permitted but rather the actual data. Each element is defined in greater detail in Appendix D of the NICS/FBI Interface Control Document (ICD).

**Explanation of Agency Index Supplement Request Message:**

This is an electronic request from an agency to the NICS via the NCIC-FE to supplement a record in the NICS Index. Only the entering agency can enter a supplemental record. The record to be supplemented is identified by the NAM and either the NRI or ARI number. The NICS responds with an acknowledgment or rejection message.

**NOTES:**

1. MKE is "SDP".
2. HDR, MKE, ORI, NAM, and at least one other descriptor (SOC, AKA, SMT, DOB, or MNU) are **mandatory**. NRI or ARI is also **mandatory**.
3. SOC, AKA, SMT, MNU, DOB, and MIS are **optional**.
4. If MIS is given, it will be appended to any comments already in the record.
5. Note that any number of AKA, SMT, MNU, DOB, and SOC fields can be specified.

**EXAMPLE:**

```
6L013949324823.SDP.SD3242342.NAM/DOE,FRANK.NRI/1234567890.
AKA/DOE,PHIL.AKA/DOE,BUCK.
```

**F.1.1.2.6 Agency Index Supplement Response**

The Agency Index Supplement Response is sent from NICS to the agency in response to an Agency Index Supplement Request. The response indicates that the Agency Index Supplement Request was processed successfully. The format of the Agency Index Supplement Response is as follows:

```
_____
      1           2           3           4           5           6
1234567890123456789012345678901234567890123456789012345678901234567
_____
```

```
1  6L01HHHHHHHHHHHHHHHHHH
2  BBBB BBBB
3  ACCEPT  MKE/SDP
4  NAM/XXXXXX, XXXXXXXXXXX XXXXXXXXXXX XXXX
5  ARI/XXXXXXXXXXXXXXXX
6  NRI/XXXXXXXXXXXX
```

**Explanation of Agency Index Supplement Response Message:**

This electronic accept message is transmitted to the originating agency that sent the original Agency Index Supplement Request. It indicates that the Agency Index Supplement Request was successful.

**LINE NOTES:**

LINE NUMBER	DESCRIPTION
LINE 1:	This line contains the NICS Response Header.
LINE 2:	This line contains the ORI given in the Agency Index Supplement Request.
LINE 3:	This line contains the word "ACCEPT" and the MKE code SDP.
LINE 4:	This line contains the name of the subject in the NICS Index.
LINE 5:	This line contains the ARI number in the NICS Index.

LINE NUMBER	DESCRIPTION
LINE 6:	This line contains the NRI number.

#### F.1.1.2.8.1 Agency Index Canceled Record

When a record in the NICS Index is canceled, certain data elements are still present within the record. The remaining data is:

- NRI;
- NRI status;
- PCA;
- Last Name (which is changed to “CANCELLED”);
- Creation date;
- Expiration date;
- Date of last update;
- Updated by (ORI associated with the last update);
- Purge date;
- Base purge date; and
- Miscellaneous comments (The data source, ARI, and current miscellaneous comments are saved in this field).

#### F.1.1.2.7 Agency Index Cancel Request

The Agency Index Cancel Request is a request submitted by an agency to cancel an existing NICS Index record. The format of the Agency Index Cancel Request is as follows:

```
HDR.MKE.ORI.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.  
NRI/XXXXXXXXXX.ARI/XXXXXXXXXXXXXXXX.RDQ/X
```

**NOTE:** The information above is broken down into: 1) Message Field Codes (i.e., NAM, NRI, etc.), 2) Separators (/), 3) agency information (XXXX...), and 4) the (.), which represents the end of the information provided by the agency. The X's above are not representative of the number of characters permitted but rather the actual data. Each element is defined in greater detail in Appendix D of the NICS/FBI Interface Control Document (ICD).

#### Explanation of Agency Index Cancel Request Message:

This is an electronic request from an agency to the NICS via the NCIC-FE to cancel a record in the NICS Index. 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. The NICS responds with an acknowledgment or rejection message.

#### NOTES:

1. MKE is "XDP".

2. HDR, MKE, ORI, and NAM are **mandatory**. NRI or ARI is also **mandatory**.
3. RDQ (Relief from Disabilities Question) is optional 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 an ATF-approved relief from disabilities program as indicated in Public Law 110-180, STAT.2562-Relief from Disabilities? The permissible values for RDQ are Y (Yes) or N (No).

**EXAMPLE:**

6L013949324823.XDP.SD3242342.NAM/DOE, FRANK.NRI/1234567890.

**F.1.1.2.8 Agency Index Cancel Response**

The Agency Index Cancel Response is sent from NICS to the agency in response to an Agency Index Cancel Request. The response indicates that the Agency Index Cancel Request was processed successfully. The format of the Agency Index Cancel Response is as follows:

---

1	2	3	4	5	6
1234567890123456789012345678901234567890123456789012345678901234567					

---

```

1  6L01HHHHHHHHHHHHHHHH
2  BBBB BBBB
3  ACCEPT  MKE/XDP
4  NAM/XXXXXXXXXXXXXXXX, XXXXXX XXXXXXXX XXXX
5  ARI/XXXXXXXXXXXXXXXX
6  NRI/XXXXXXXXXXXX
7  RDQ/X

```

**Explanation of Agency Index Cancel Response Message:**

This electronic accept message is transmitted to the originating agency that sent the original Agency Index Cancel Request. It indicates that the Agency Index Cancel Request was successful.

**LINE NOTES:**

LINE NUMBER	DESCRIPTION
LINE 1:	This line contains the NICS Response Header.
LINE 2:	This line contains the ORI given in the Agency Index Cancel Request.
LINE 3:	This line contains the word “ACCEPT” and the MKE code XDP.
LINE 4:	This line contains the name of the subject.
LINE 5:	This line contains the ARI number in the NICS Index.
LINE 6:	This line contains the NRI number.

LINE NUMBER	DESCRIPTION
Line 7:	This line contains the answer to the following question: Is the deletion of this NICS Index record due to an ATF-approved relief from disabilities program as indicated in Public Law 110-180, STAT.2562-Relief from Disabilities?

### F.1.1.2.9 Agency Index Display Request

The Agency Index Display Request is a request submitted by an agency to display an existing NICS Index record. The format of the Agency Index Display Request is as follows:

**HDR.MKE.ORI.NRI/XXXXXXXXXX.ARI/XXXXXXXXXXXX.**

**NOTE:** The information above is broken down into: 1) Message Field Codes (i.e., NRI, ARI, etc.), 2) Separators (/), 3) agency information (XXXX...), and 4) the (.), which represents the end of the information provided by the agency. The X's above are not representative of the number of characters permitted but rather the actual data. Each element is defined in greater detail in Appendix D of the NICS/FBI Interface Control Document (ICD).

### Explanation of Agency Index Display Request Message:

This is an electronic request from an agency to the NICS via the NCIC-FE to display a record in the NICS Index. Agencies may only view records that they have submitted to the NICS Index. The record to be displayed is identified by either the NRI number or ARI number. The NICS responds with the record data or a rejection message.

### NOTES:

1. MKE is "QDP".
2. HDR, MKE, and ORI are **mandatory**. The NRI or ARI is also **mandatory**.

### EXAMPLE:

6L013949324823.QDP.SD3242342.NRI/1234567890.

### F.1.1.2.10 Agency Index Display Response

The Agency Index Display Response is sent from NICS to the agency in response to an Agency Index Display Request. The format of the Agency Index Display Response is as follows:

---

1	2	3	4	5	6
1234567890123456789012345678901234567890123456789012345678901234567					

---

```

1  6L01HHHHHHHHHHHHHHHHHH
2  BBBB BBBB
3  DATE: MM/DD/YYYY  TIME: XX:XX:XX
4  S T A T E   I N D E X   D I S P L A Y   R E S P O N S E
5  =====
6  NRI: XXXXXXXXXXXX  STATUS: ACTIVE  EXPIRATION DATE:
   MM/DD/YYYY
7  PCA: X - XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
8  NAM: XXXXXXXXXXXXX(Up to 50 char), XXXXXXXXXXXXX(Up to 50
   char) XXXXXXXXXXXXX(Up to 30 char) XXXX(Up to 4 char)
9  SEX: X  RAC: X  DOB: MM/DD/YYYY
10 HGT: XXX WGT: XXX EYE: XXX HAI: XXX
11 POB: XXXXXXXXXXXXXXXXXXXXXXXXXXXX(Up to 40 char)  SOR:  XX
12 SOC: XXXXXXXXXXX; XXXXXXXXXXX; XXXXXXXXXXX; XXXXXXXXXXX
13 SMT: XXXXXXXXXXX; XXXXXXXXXXX; XXXXXXXXXXX; XXXXXXXXXXX;
   XXXXXXXXXXX
14 AKA: XXXXXXXXX, XXXXXXXXX; XXXXXXXXX, XXXXXXXX(Up to 100 char)
15 MNU: XX-XXXXXXXXXXXXXXXX; XX-XXXXXXXXXXXXXXXX; XX-XXXXXXXXXXXXXXXX
16 MIS: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
   XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
17 ORI: XXXXXXXXX  OCA: XXXXXXXXX
18 DNY: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
19 DATA-SRC: XXX
20 ARI: XXXXXXXXXXXXXXXXXXXXXXXXXXXX
21 CREATED-BY: XXXXXXXXXXXXXXXX  CREATED-DATE: MM/DD/YYYY
22 UPDATED-BY: XXXXXXXXXXXXXXXX  UPDATED-DATE: MM/DD/YYYY
23 NICS-END

```

**Explanation of Agency Index Display Response Message:**

This electronic message is transmitted to the originating agency that sent the original Agency Index Display Request. It provides the record data requested by the Agency Index Display Request.

**LINE NOTES:**

LINE NUMBER	DESCRIPTION
LINE 1:	This line contains the NICS Response Header.
LINE 2:	This line contains the ORI given in the Request.
LINE 3:	This line contains the Date and time of the request.
LINE 4:	This line contains the “AGENCY INDEX DISPLAY RESPONSE” banner.
LINE 5:	This line is a visual separator and indicates that the Agency Index Display Response will follow.
LINES 6-22:	These lines contain the NICS Index data for the specified NRI.
LINE 23:	Last line of the Agency Index Display Response.

**F.1.1.2.11 Agency Reject Messages**

The Agency Reject Message is sent from NICS to the agency in response to any agency-submitted request. The Agency Reject Message reveals any errors detected while processing the agency request. The format of the Agency Reject Message is as follows:

```

1  6L01HHHHHHHHHHHHHHHH
2  BBBB BBBB
3  REJECT  MKE/XXX
4  MFC/XXXXXXXXXXXXXXXXX.MFC/XXXXXXXXXXXXXXXXX.MFC/XXXXXXXXXXXXXXXXX.
5  For The Following Reason(s)
6  LLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLLL
7  NICS-END

```

**Explanation of Agency Reject Messages:**

This is an electronic message from the NICS to an agency via the NCIC-FE. The message indicates some kind of problem was detected with a request submitted by an agency. The Agency Reject Message will be used to identify validation errors and processing errors with any of the preceding Agency Request Messages. A reject message will always redisplay the Message Field Codes (MFC) received by the NICS and will list the error(s) detected. In some

cases, the errors detected do not prevent the computer from editing the entire request from an agency. In these instances, the error list will be complete since it will identify any and all errors detected. In other cases, an error in the request will prevent editing beyond the field containing the error. The error list, in these instances, may be only a partial list since it will identify only this error plus any prior errors.

**LINE NOTES:**

LINE NUMBER	DESCRIPTION
LINE 1:	This line contains the NICS Response Header.
LINE 2:	This line contains the ORI given in the Agency Request.
LINE 3:	This line contains the word “REJECT” and the MKE.
LINE 4:	This line contains the Message Field Codes sent in the original request message. It may be repeated as necessary.
LINE 5:	This line contains the string: “For The Following Reason(s)”.
LINE 6:	This line contains the Error Message (see below). It may be repeated as necessary.
LINE 7:	Last line of the Agency Reject Message.

**EXAMPLE #1:**

```
6L01HHHHHHHHHHHHHHHHH
DCFBIWA00
REJECT MKE/EDP
DOB/101141.AKA/SMITH, JAMES R.SMT/SC L ARM.SOC/123456789

FOR THE FOLLOWING REASON(S)

INSUFFICIENT DATA

END
```

**F.1.1.2.11.1 Error List for Reject Messages – NICS Index Submissions**

The following is a list of message field code (MFC) errors that may appear in a reject message. Where applicable, “XXX” will be replaced by the appropriate MFC.

**AKA NAME IS SAME AS BASE NAME**

The AKA in an EDP, MDP, or SDP request is the same as the NAM in the base NICS Index record.

**DUPLICATE RECORD**

This response will be transmitted when the EDP contains an ARI that already exists for the submitting agency within the NICS Index.

#### DUPLICATED FIELD - XXX

Duplicate MFC. An MFC that cannot be repeated appears more than once in the request.

#### EQUIPMENT PROBLEM - RESEND MESSAGE

A computer problem occurred before the message was completely processed.

#### INSUFFICIENT DATA, MISSING REQUIRED MFCS - XXX

The Request does not contain the MFC data needed.

#### INVALID DATA – XXX/entered invalid data

- 1) The data in the field identified by the MFC does not match the criteria for that field.
- 2) The value in the field identified by the MFC is invalid.

#### INVALID HEADER

The incoming message header contains invalid characters or is in an invalid format.

#### INVALID MFC - XXX

The Agency Request contains one of the following errors:

- 1) Invalid MFC;
- 2) Wrong MFC for file involved;
- 3) MFC in the Agency Request does not agree with message key (MKE) used;
- 4) MFC is not followed by a slash; or,
- 5) Period is erroneously included within a data field.

The reject message will contain this error and all other errors detected.

#### INVALID ORI

The originating agency identifier is not the originating agency of the requested record.

#### MISSING DATA - XXX

The field identified by the MFC was left blank.

#### NOT AUTHORIZED

An Index Request (MDP, SDP, or XDP) is received from an agency other than the original agency.

#### NRI NOT ON FILE

The referenced NRI does not exist.

#### SUPPLEMENTAL IDENTIFIER NOT ON FILE

XXX/(Supplemental Identifier)

The supplemental identifier(s) in the MDP message could not be located. Each identifier not located will be preceded by the appropriate message field code (XXX) followed by a slash, and will appear on a new line. The error message will be generated for each identifier not located and will appear on the line preceding each message field code (XXX).

XXX =AKA/(Also Known As)  
 MNU/(Miscellaneous Identification Number)  
 SMT/(Scars, Marks, Tattoos)  
 SOC/(Social Security Numbers)  
 DOB/(Date of Birth)

**UNKNOWN MKE**

The Request contains an unknown message key.

**Example:**

```
6L01HHHHHHHHHHHHHHHHH
DCFBIWA00
REJECT MKE/EDP
DOB/101141.AKA/SMITH,JAMES R.SMT/SC L ARM.SOC/123456789

FOR THE FOLLOWING REASON(S)

INSUFFICIENT DATA

END
```

**F.1.1.3 NICS Index Administrative Messages**

The NICS Index Administrative Message is any unsolicited message sent from NICS to an agency. Currently, the Agency Index Expiration Notification message is the only NICS Index Administrative Message in use.

**F.1.1.3.1 Agency Index Expiration Notification**

The Agency Index Expiration Notification is a NICS Index Administrative Message sent from NICS to an agency indicating that a NICS Index record entered by their agency is scheduled to be purged. The format of the Agency Index Expiration Notification is as follows:

---

1	2	3	4	5	6
1234567890123456789012345678901234567890123456789012345678901234567					

---

- 1 \$.NICS.DPX.
- 2 A RECORD IN THE NICS INDEX WILL EXPIRE.
- 3. IF THE EXPIRATION DATE IS NOT EXTENDED WITHIN 5 DAYS, THE RECORD WILL BE PURGED FROM THE NICS INDEX
- 4 THE NICS INDEX DATA IS AS FOLLOWS:
- 5 NRI: XXXXXXXXXXXX ARI: XXXXXXXXXXXXXXXXXXXX EXP: MM/DD/YYYY



LINE NUMBER	DESCRIPTION
LINE 8:	This line contains reference data about the denying agency.
LINE 9:	This line contains the subject's name, sex, race, and date of birth.
LINE 10:	This line contains the subject's height, weight, place of birth, eye color, and hair color.
LINE 11:	This line contains the subject's social security number(s). This line may be repeated.
LINE 12:	This line contains the subject's scars, marks, and tattoos. This line may be repeated.
LINE 13:	This line contains the subject's alias name. This line may be repeated.
LINE 14:	This line contains the subject's miscellaneous number.
LINE 15:	This line contains the subject's State of Residence and Originating Agency Case Number.

## EXAMPLE

\$.NICS.DPX.

A RECORD IN THE NICS INDEX WILL EXPIRE.

IF THE EXPIRATION DATE IS NOT EXTENDED WITHIN 5 DAYS, THE RECORD WILL BE PURGED FROM THE NICS INDEX

THE NICS INDEX DATA IS AS FOLLOWS:

NRI: 1234567890      ARI: 1234567890      EXP: 11/21/1998

PCA: Controlled Substance Abuse

ORI: MD1234567

DNY: Mont. County Police / Division A / 301-654-9876

NAM: DOE, JOHN P.    SEX: M    RAC: W    DOB: 01/16/1992

HGT: 300    WGT: 045    POB: DISTRICT OF COLUMBIA    EYE: BRO    HAI: BRO

SOC: 212-55-1234, 212-56-9876

SMT: SC L WRIST, SC R WRIST

AKA: PAUL DOE

AKA: Speed Racer

MNU: 345764334

SOR: MD      OCA: 960230001

## **F.2 Federal Agency Batch Files**

All federal agencies who submit batch NICS Index files to the NICS/FBI will be required to adhere to the formats and requirements specified in Sections F.2 through F.4 of this document.

### **F.2.1 Agency Batch Data Flow Description**

#### **F.2.1.1 Agency Batch Media Platform Labeling**

The submitted platform (CD or diskette) shall be labeled with the agency name and the date the files on the media platform were created.

#### **F.2.1.2 Agency Batch File Names**

The file naming convention for agency batch data files is

*<AgencyCode>.<MKE>.<BatchNumber>*

where:

- AgencyCode is the character code for the submitting agency. For federal agencies, the permissible value is a three-letter code for the agency;
- MKE is the Message Key of all records included in the file;
- BatchNumber is a number assigned by the submitting agency that uniquely identifies the batch submission; and
- Batch submissions will be processed in the following order:
  1. Add record (EDP)
  2. Modify record (MDP)
  3. Supplement record (SDP)
  4. Cancel record (XDP).

#### **F.2.1.3 Agency Batch Data Sizing**

The number of records in each batch will vary by agency. The number of batches received is based on the number of agencies submitting batch data and the frequency of those submissions.

#### **F.2.1.4 Agency Batch Data Currency**

The frequency of batch updates will be determined by each participating agency.

#### **F.2.1.5 Agency Batch Data File Attributes**

The record format for agency data is MFC variable length records as follows:

- The first data element must be the MKE followed by the ORI;
- The order or sequence of the remaining data elements is random;

- The file contains no header records;
- Each file includes one and only one of the supported record types. For example, if an agency is submitting EDP and MDP record types, then two separate files must be submitted. The first file will contain all EDP record types and the second file will contain all MDP record types;
- Field lengths are variable, depending on the data populating the field;
- Only fields that contain data are required in the record for modification;
- Each Add, Modify, Cancel, or Supplement record must contain all required fields plus all other data relating to the requested change;
- Fields within a single record are separated by a period (.);
- Records within a file must not contain tabs or line feeds (returns) within the record;
- Each record within a file must be separated by a line feed character (a return) at the end of each record.

Exhibit F-1: NICS Transmittal Form for Agency Batch Data should accompany each batch of data submitted to the NICS. Information provided on the transmittal will be used by the FBI to contact the agency in the event there are problems with a file and to return batch processing reports and processed media to the agency. Each CD or diskette should have an external label with the following information:

- “AGENCY-xxx” where xxx is the character code for the submitting agency;
  - Date;
  - File Names (if multiple files);
  - Number of Files on Media (if multiple files); and
1. Number of Records on Media (for each file, if multiple files).

The MFC scheme is applied as follows: the three-character NICS data element code specified by the FBI, followed by a slash and the applicable value. Each data element is terminated with a period. For example, sex information for a subject is presented as follows:

SEX/F.

Each record must include the MKE used by the NICS to identify the action required to process the record. The MKEs supported include the following: EDP, MDP, SDP, and XDP. Each record must also include the ORI of the submitting agency. Additionally, each record furnished on the media platform must contain all data elements required for the requested action. The required data elements for each supported MKE, with definitions and examples, are identified in Section F.4.4: Agency Batch Record Definition.

### **F.3 Agency Batch Interface Records**

The following section describes the types of batch records submitted to the NICS Index from contributing agencies and the format of each.

### F.3.1 Agency Batch Index Add Record

The Agency Batch Index Add Record is submitted by an agency and contains new records to be added to the NICS Index. The format of the Agency Batch Index Add Record is as follows:

#### Record Layout:

```
EDP.ORI.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.SEX/X.DOB/YYYYMMDD.DOB/YYYYMMDD.PCA/X.ARI/XXXXXXXXXX.EXP/YYYYMMDD.OCA/XXXXXXXXXX.HGT/XXX.RAC/X.SOR/XX.WGT/XXX.POB/XX.EYE/XXX.HAI/XXX.MNU/XX-XXXXXXXXXX.MNU/XX-XXXXXXXXXX.SOC/XXXXXXXXXX.SOC/XXXXXXXXXX.SMT/XXXXXXXXXX.SMT/XXXXXXXXXX.AKA/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.AKA/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.DNY/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.MIS/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.
```

NOTE: The information above is broken down into: 1) Message Field Codes (i.e., NAM, SEX, DOB, etc.), 2) Separators (/), 3) agency information (XXXX...), and 4) the (.), which represents the end of the information provided by the agency. The X's above are not representative of the number of characters permitted but rather the actual data. Each element is defined in greater detail in Appendix D of the NICS/FBI Interface Control Document (ICD).

#### Explanation:

This record allows the agency to add a record to the NICS Index. Please note that you can specify multiple AKA, SMT, MNU, DOB, and SOC fields.

#### Notes:

1. MKE is "EDP".
2. MKE, ORI, NAM, SEX, DOB, PCA, and ARI are **Mandatory** (DOB may be replaced by either the MNU or SOC).
3. The NAM field holds a maximum of 138 characters and must be provided in the following format: SURNAME (50)[comma][space]FIR(30)[space] MID(50)[space]CADENCE(4).

#### SPECIAL FORMATTING:

- a. First position must not be a blank, comma, or hyphen.
- b. Must contain at least one, and only one, comma.
- c. Comma must not be preceded by a blank or hyphen.
- d. Two or more consecutive blanks or hyphens between characters are invalid.
- e. Hyphen must be preceded and followed by alpha characters.

#### EXAMPLES:

Smith, John Henry  
Smith, John Henry Jr

Smith, John H Q  
Smith, John Henry Lewis  
Castro-Ramirez, Ann-Marie Cesar

4. A DOB must be provided to NICS as YYYYMMDD. The following formats will be accepted:
  - a. A full DOB (example: 19500216)
  - b. A partial DOB, which is a date of birth that includes two of the three DOB values. Zeros are used to replace the unknown value (example: 19400200, 0000210, or 19400010).
  - c. A DOB with all zeros along with an alternate unique identifying number, such as a Social Security Number (SOC) or Miscellaneous Number (MNU). **Note:** If a 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.
5. EXP may be provided to NICS as YYYYMMDD.
6. EXP is **mandatory** for records with a \*PCA of “C” (Controlled Substance Prohibitor) or “A2” (Indictment/Information).
7. The EXP is not applicable if the PCA code is “D” (Mental Defective) or MD (“Denied Persons File/Mental Defective). The NICS system will reject the EXP if it is provided for these PCA codes.
8. DNY, OCA, AKA, HGT, WGT, POB, EYE, HAI, RAC, SMT, SOR, and MIS are **optional**.
9. When an Agency Index Add is requested with valid mandatory and invalid optional fields, NICS will process the request by accepting the valid mandatory fields and rejecting the invalid optional fields by notifying the agency with an error response. Although these fields are optional, the record will be more complete and the background check more accurate if all available information is provided.

\*For a list of allowable PCA codes, refer to **Appendix D** of the *NICS/FBI Interface Control Document (ICD)*.

**Example:**

```
EDP.SD3242342.NAM/DOE,FRANK.SEX/M.RAC/W.DOB/19560223.  
DOB/19460123.SOR/MD.PCA/C.EXP/19961212.DNY/COOK COUNTY SHERIFFS  
DEPT.OCA/934234323.SOC/324932131.AKA/DOE,FRED.AKA/DOE,FREDDY.HGT/602.W  
GT/200.POB/VA.EYE/BLK.HAI/BLK.SMT/SC R LEG.SMT/TAT FARM.
```

### F.3.2 Agency Batch Index Modify Record

The Agency Batch Index Modify Record is submitted by an agency and contains modifications to existing NICS Index records. The format of the Agency Batch Index Modify Record is as follows:

#### Record Layout:

```
MDP. ORI . NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX . ARI/XXXXXXXXXXXXXXXXXXXX .  
NRI/XXXXXXXXXXXX . SEX/X . RAC/X . DOB/YYYYMMDD;YYYYMMDD . DOB/YYYYMMDD;  
YYYYMMDD . SOR/XX . PCA/X . EXP/YYYYMMDD . DNY/XXX . OCA/XXXXXXXXXXXX . HGT/XXX . WGT/X  
XX . POB/XX . EYE/XXX . HAI/XXX . MNU/XX-XXXXXXXXXXXX;XX-  
XXXXXXXXXXXX . SOC/XXXXXXXXXXXX;XXXXXXXXXXXX . SOC/XXXXXXXXXXXX;XXXXXXXXXXXX . SMT/XXXXXXX  
XXX;XXXXXXXXXXXX . SMT/XXXXXXXXXXXX;XXXXXXXXXXXX . MIS/XXXXXXXXXXXXXXXXXXXXXXXXXXXX .  
AKA/XXXXXXXXXX, XXXXXX XXXXXXXX;XXXXXXXXXXXX, XXXXXXXXXX  
XXXXXXXXXX . AKA/XXXXXXXXXX, XXXXXXXXXX XXXXXX;XXXXXXXXXX, XXXXXXXXXXXXX XXXXXXXXXX .
```

NOTE: The information above is broken down into: 1) Message Field Codes (i.e., NAM, SEX, DOB, etc.), 2) Separators (/), 3) agency information (XXXX..), and 4) the (.), which represents the end of the information provided by the agency. The X's above are not representative of the number of characters permitted but rather the actual data. Each element is defined in greater detail in Appendix D of the NICS/FBI Interface Control Document (ICD).

#### Explanation:

This record allows the agency to modify a record in the NICS Index. Only the agency that originally entered the NICS Index record is authorized to modify the record. Only the data in the fields identified in the modification request will be changed.

For AKA, SMT, MNU, DOB, and SOC fields, the proper modification format is

```
MFC/XXXXXXXXXXXX;ZZZZZZZZZZ,
```

where XXXXXXXXXXXX is the current data, the separator is a semi-colon (;), and ZZZZZZZZZZ is the new data. Note: Multiple AKA, SMT, MNU, DOB, and SOC fields may be supplied in a single record. Data must be included in place of the ZZZZZZZZZZ or the specific modification request will not be accepted.

#### Notes:

1. MKE is "MDP".
2. MKE, ORI, and NAM are **mandatory**. NRI or ARI is also **mandatory**.
3. If modifying the PCA to be a "C" (Controlled Substance Prohibitor) or an "A2" (Indictment/Information), then EXP is **mandatory**.
4. If modifying the PCA to be a "D" (Mental Defective) or MD ("Denied Persons File/Mental Defective), the EXP is not applicable. The NICS system will reject the EXP if it is provided for these PCA codes.

- The NAM field holds a maximum of 138 characters and must be provided in the following format: SURNAME (50)[comma][space] FIR(30)[space] MID(50)[space]CADENCE(4).

**SPECIAL FORMATTING:**

- First position must not be a blank, comma, or hyphen.
- 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 preceded and followed by alpha characters.

**EXAMPLES:**

Smith, John Henry  
 Smith, John Henry Jr  
 Smith, John H Q  
 Smith, John Henry Lewis  
 Castro-Ramirez, Ann-Marie Cesar

- SEX, RAC, SOR, POB, PCA, EXP, HGT, WGT, EYE, HAI, AKA, SMT, DNY, OCA, and MIS are **optional**. For a list of allowable PCA codes, refer to **Appendix D** of the *NICS/FBI Interface Control Document (ICD)*.
- The DOB field may be used to modify a current NICS Index Record DOB field as YYYYMMDD.  
 The following formats will be accepted:
  - A full DOB (example: 19500216)
  - A partial DOB, which is a date of birth that includes two of the three DOB values. Zeros are used to replace the unknown value (example: 19400200, 0000210, or 19400010).

**Note: The DOB field cannot be modified with all zeros.**

- EXP may be provided to NICS as YYYYMMDD.
- If MIS is provided, it will replace any miscellaneous comments already in the record.

**Example:**

MDP.SD3242342.NAM/DOE,FRANK.NRI/1234567890.  
 SOC/233289232;233889232.

**F.3.3 Agency Batch Index Supplement Record**

The Agency Batch Index Supplement Record will be submitted by an agency and will contain supplemental data to be added to existing NICS Index records. The format of the Agency Batch Index Supplement Record will be as follows:

**Record Layout:**

**SDP . ORI . NRI /XXXXXXXXXXXXXXXX . ARI /XXXXXXXXXXXX .**  
**NAM /XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX . MNU /XX -XXXXXXXXXX .**

**MNU/XX-XXXXXXXXX.SOC/XXXXXXXXX.SOC/XXXXXXXXX.DOB/YYYYMMDD.  
DOB/YYYYMMDD.SMT/XXXXXXXXXX.AKA/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.  
SMT/XXXXXXXXXX.AKA/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.MIS/XXXXXXXXXXXXXXXXXX  
XXXXXXXXX.**

NOTE: The information above is broken down into: 1) Message Field Codes (i.e., NAM, ARI, SOC, etc.), 2) Separators (/), 3) agency information (XXXX...), and 4) the (.), which represents the end of the information provided by the agency. The X's above are not representative of the number of characters permitted but rather the actual data. Each element is defined in greater detail in Appendix D of the NICS/FBI Interface Control Document (ICD).

**Explanation:**

This record allows the agency to supplement a record in the NICS Index. Only the agency that originally entered the NICS Index record is authorized to supply supplemental data.

**Notes:**

1. MKE is "SDP".
2. MKE, ORI, and NAM are **mandatory**. Either NRI or ARI is also **mandatory**.
3. SOC, AKA, DOB, SMT, MNU, and MIS are **optional**.
4. If MIS is given, it will be appended to any comments already in the record.
5. Note that you can specify any number of AKA, SMT, MNU, DOB, and SOC fields.

**Example:**

SDP.SD3242342.NAM/DOE,FRANK.NRI/1234567890.AKA/DOE,JOE.AKA/DOE,BUCK.

**F.3.4 Agency Batch Index Cancel Record**

The Agency Batch Index Cancel Record is submitted by an agency and contains requests to cancel specified existing NICS Index records. The format of the Agency Batch Index Cancel Record is as follows:

**Record Layout:**

**XDP.ORI.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.ARI/XXXXXXXXXXXXX.  
NRI/XXXXXXXXXX.**

NOTE: The information above is broken down into: 1) Message Field Codes (i.e. NAM, ARI, NRI, etc.), 2) Separators (/), 3) agency information (XXXX...), and 4) the (.), which represents the end of the information provided by the agency. The X's above are not representative of the number of characters permitted but rather the actual data. Each element is defined in greater detail in Appendix D of the NICS/FBI Interface Control Document (ICD).

**Explanation:**

This record allows the agency to cancel a record in the NICS Index. Only the agency that originally entered the NICS Index record is authorized to supply supplemental data. The record to be canceled is identified by the NAM and either the NRI or ARI number.

**Notes:**

1. MKE is "XDP".
2. MKE, ORI, and NAM are **mandatory**. Either NRI or ARI is also **mandatory**.

**Example:**

XDP.SD3242342.NAM/DOE, FRANK.NRI/1234567890.

**F.3.5 NICS Batch Data Load Manager Report**

An automated report is produced for each set of data entered into the NICS Index. This is a report listing all of the records processed successfully and any record errors detected as a result of the NICS validation process. The FBI may provide this report to the Point of Contact specified on the label submitted by the Federal agency upon request. The report will be sent back to the Point of Contact on the same type of media as the original request.

**Explanation:**

The NICS Batch Data Load Manager Report will be used to identify validation errors and processing errors with any of the preceding Federal Records. The report will also list all records that were successfully processed. The report will display the ARI, NRI, MKE, subject's name (if available), and the result of the NICS validation process, including any error(s) detected.

In some cases, the errors detected do not prevent the computer from processing the entire record (minor error). A minor error includes the case when invalid non-mandatory data is in the record. In these instances, the error list will be complete since it will identify any and all errors detected. In other cases, an error in the record will prevent the record from being processed (fatal error). A fatal error includes the case when invalid mandatory data is in the record. Once invalid mandatory data has been found, the rest of the record is not processed. The error list, in these instances, may be only a partial list since it will identify only this error plus any prior errors.

**Error Messages:**

The following is a list of the errors that may appear in the Federal agency batch error file:

**MESSAGE FIELD CODE (MFC) ERRORS**

Where applicable, "XXX" will be replaced by the appropriate MFC.

**AKA NAME IS SAME AS BASE NAME**

The AKA in an EDP, MDP, or SDP record is the same as the NAM in the base NICS Index record.

**DUPLICATE MFC - XXX**

An MFC that cannot be repeated appears more than once in the record.

#### DUPLICATE RECORD

This message will be generated when an EDP contains an ARI that already exists in the NICS Index for the submitting agency.

#### DUPLICATED FIELD – XXX

This message will be generated when an EDP contains a data field that already exists in the NICS Index record.

#### INSUFFICIENT DATA, MISSING REQUIRED MFCS-XXX

The record does not contain the required MFC data.

#### INVALID DATA - XXX/entered invalid data

- 1) The data in the field identified by the MFC does not match the criteria for that field.
- 2) The value in the field identified by the MFC is invalid.

#### INVALID MFC - XXX

The record contains one of the following errors:

- 1) Invalid MFC;
- 2) Wrong MFC for file involved;
- 3) MFC does not agree with MKE used;
- 4) MFC is not followed by a slash; or,
- 5) Period is erroneously included within a data field.

#### INVALID ORI

The originating agency identifier is not the originating agency of the requested record.

#### MISSING DATA – XXX

The field identified by the MFC was left blank.

#### NOT AUTHORIZED

This message will occur when an Index Record update (MDP, SDP, or XDP) is received from an agency other than the originating agency.

#### SUPPLEMENTAL IDENTIFIER NOT ON FILE

XXX/(Supplemental Identifier)

The supplemental identifier(s) in the SDP record could not be located. Each identifier not located will be preceded by the appropriate message field code (XXX) followed by a slash. The error message will be generated for each identifier not located and will appear on the line preceding each message field code (XXX).

XXX = AKA/(Also Known As)

MNU/(Miscellaneous Identification Number)

SMT/(Scars, Marks, Tattoos)

SOC/(Social Security Numbers)

DOB/(Date of Birth)

UNKNOWN MKE

The Record contains an unknown message key.

#### **F.4 Agency Batch Transmittal Information**

The following section provides instructions on how to submit batch records to the NICS, where to find information on data elements, and how NICS handles exceptions and errors.

##### **F.4.1 New Agency Testing**

For new agencies that will be submitting records for the first time, it is recommended that a test batch be submitted. This test batch will be processed on our Non-Operational Environment to verify that records are in the appropriate formats. The results will be returned to the agency for review. The media that contains the test records should be labeled as "TEST". The coordination of any testing should be scheduled with the NICS Index Liaison Analyst.

##### **F.4.2 Agency Batch Transfer Method**

The agency batch data may be submitted to the NICS in batch mode as a series of records on CD-ROM or 3.5" diskette. The character representation is ASCII for CD-ROM and 3.5" diskette. There is no limit for the total number of records that can be submitted. For the ease of processing, it is requested that records submitted be batched in 10,000 record increments. Example: If an agency has 25,000 records to submit, the agency will provide the FBI with three batch loads.

The mailing address for the CD-ROM or 3.5" diskette is the following:

**Federal Bureau of Investigation  
Attn: NICS Index Liaison Analyst  
Module A-3  
1000 Custer Hollow Road  
Clarksburg, WV 26306**

##### **F.4.3 Agency Batch Data Format and Content**

The data element definitions for agency data are documented in the NCIC Operating Manual. The NICS uses the pre-defined values set by the FBI's NCIC system for these data elements. If required, the agency will convert the required data elements to the values supported by the NICS. The NCIC values are defined in the NCIC Code Manual.

##### **F.4.4 Agency Batch Record Definition**

The differences between the electronic and batch interfaces are:

- The batch interface supports a subset of the MKEs supported by the electronic interface. MKEs supported by the batch interface include EDP, MDP, SDP, and XDP.
- The record layout for the batch interface does not include a HDR data element.
- For readability purposes, the record layout for a single record is presented on multiple lines in the examples in this document. However, all lines for a single record must be linked together without any line feeds (returns) or tab characters within the record structure.

#### **F.4.5 Agency Batch Exception and Error Handling**

An automated report, the NICS Batch Data Load Manager Report, is produced for each data file entered into the NICS database. This is a report listing all of the records processed successfully and any record errors detected as a result of the NICS validation process. The FBI may provide this report to the submitting agency upon request. The report will be sent back to the Point of Contact on the same type of media as the original request.

The NICS Batch Data Load Manager Report will be used to identify validation errors and processing errors with any of the preceding Federal Records. The report will also list all records that were successfully processed. The report will display the ARI, NRI, MKE, subject's name, and the result of the NICS validation process, including any error(s) detected.

In some cases, the errors detected do not prevent the computer from processing the entire record (minor error). A minor error includes the case when invalid non-mandatory data is in the record. In these instances, the error list will be complete since it will identify any and all errors detected. In other cases, an error in the record will prevent the record from being processed (fatal error). A fatal error includes the case when invalid mandatory data is in the record. Once invalid mandatory data has been found, the rest of the record is not processed. The error list, in these instances, may be only a partial list since it will identify only this error plus any prior errors.

#### **F.4.6 Agency Batch Administrative Messages**

The NICS Section and the Agency POC will communicate via telephone to resolve any problems with agency-submitted batch files.

**NICS TRANSMITTAL FORM FOR  
AGENCY BATCH DATA**

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**CONTACT AND RETURN INFORMATION**

**AGENCY:** \_\_\_\_\_ **DATE OF TRANSMITTAL:** \_\_\_\_\_  
**POINT OF CONTACT:** \_\_\_\_\_  
**CONTACT ADDRESS:** \_\_\_\_\_  
**CONTACT PHONE NUMBER:** \_\_\_\_\_  
**CONTACT FAX NUMBER:** \_\_\_\_\_  
**ENCLOSURES:**      CD ROM            3.5" Diskette  
**NUMBER OF ENCLOSURES:** \_\_\_\_\_

---

**RETURN INFORMATION REQUESTED**

<input type="checkbox"/> <b>SUCCESS REPORT</b>	<input type="checkbox"/> <b>ERROR REPORT</b>	<input type="checkbox"/> <b>BOTH</b>	<input type="checkbox"/> <b>BY FAX</b>	<input type="checkbox"/> <b>BY MAIL</b>
------------------------------------------------	----------------------------------------------	--------------------------------------	----------------------------------------	-----------------------------------------

**DATA DESCRIPTION**

(Use separate sheet, if necessary)

MEDIA NUMBER	FILENAME(S) (EXP., MDP., SDP., or XDP)	NO. RECORDS

**COMMENTS:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**SEND DATA VIA UPS or FEDERAL EXPRESS TO:**

**Federal Bureau of Investigation  
Attn: NICS Index Liaison Analyst  
Module A-3  
1000 Custer Hollow Road  
Clarksburg, WV 26306**

**Exhibit F-1: NICS Transmittal Form for Agency Batch Data**

<b>CODE</b>	<b>DESCRIPTION</b>
<b>AF</b>	Air Force Serial Number
<b>AN</b>	Non-Immigrant Admission Number
<b>AR</b>	Alien Registration Number
<b>AS</b>	Army Serial Number National Guard Serial Number Air National Guard Serial Number (regardless of State)
<b>CI</b>	Canadian Social Insurance Number
<b>CG</b>	U.S. Coast Guard Serial Number
<b>MD</b>	Mariner's Document or Identification Number
<b>MC</b>	Marine Corps Serial Number
<b>MP</b>	Royal Canadian Mounted Police Identification or Fingerprint Section (FPS) Number
<b>NS</b>	Navy Serial Number
<b>OA</b>	Originating Agency Police or Identification Number
<b>PI</b>	Personal Identification Number (This applies only to state-issued numbers).
<b>PP</b>	Passport Number
<b>PS</b>	Port Security Card Number
<b>SS</b>	Selective Service Number
<b>VA</b>	Veterans Administration Claim Number

**Table 1: Miscellaneous Number Prefix Codes**