

**Federal Bureau of Investigation (FBI)  
Criminal Justice Information Services (CJIS) Division's  
National Instant Criminal Background Check System (NICS)**

**NNICS-26 Interface Control Document (ICD)  
Appendix 10: NICS Indices Adds/Updates Specifications**



Version 4.2

December 14, 2018

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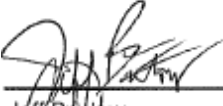
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1.1	Updates per client feedback	Accenture	12/4/2012	
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# 1 SCOPE

This appendix includes information related to the interface requested as part of the NICS Interface Control Document (ICD). For document maintenance purposes, this information has been included as a stand-alone document. This ICD reflects a change in requirements/capabilities for the Phase 1 NNICS release versus the FOC release. Paragraphs starting with (Phase 1) or (FOC) are specific to that system release. All unmarked parts of this document apply equally to both system versions. A description of this interface is included in the ICD.

The appendix is a living document, and will be updated and revised whenever there are additions to the interfacing agencies or changes in the interface design methodologies.

## 1.1 System Identification

**New NICS Context Diagram**

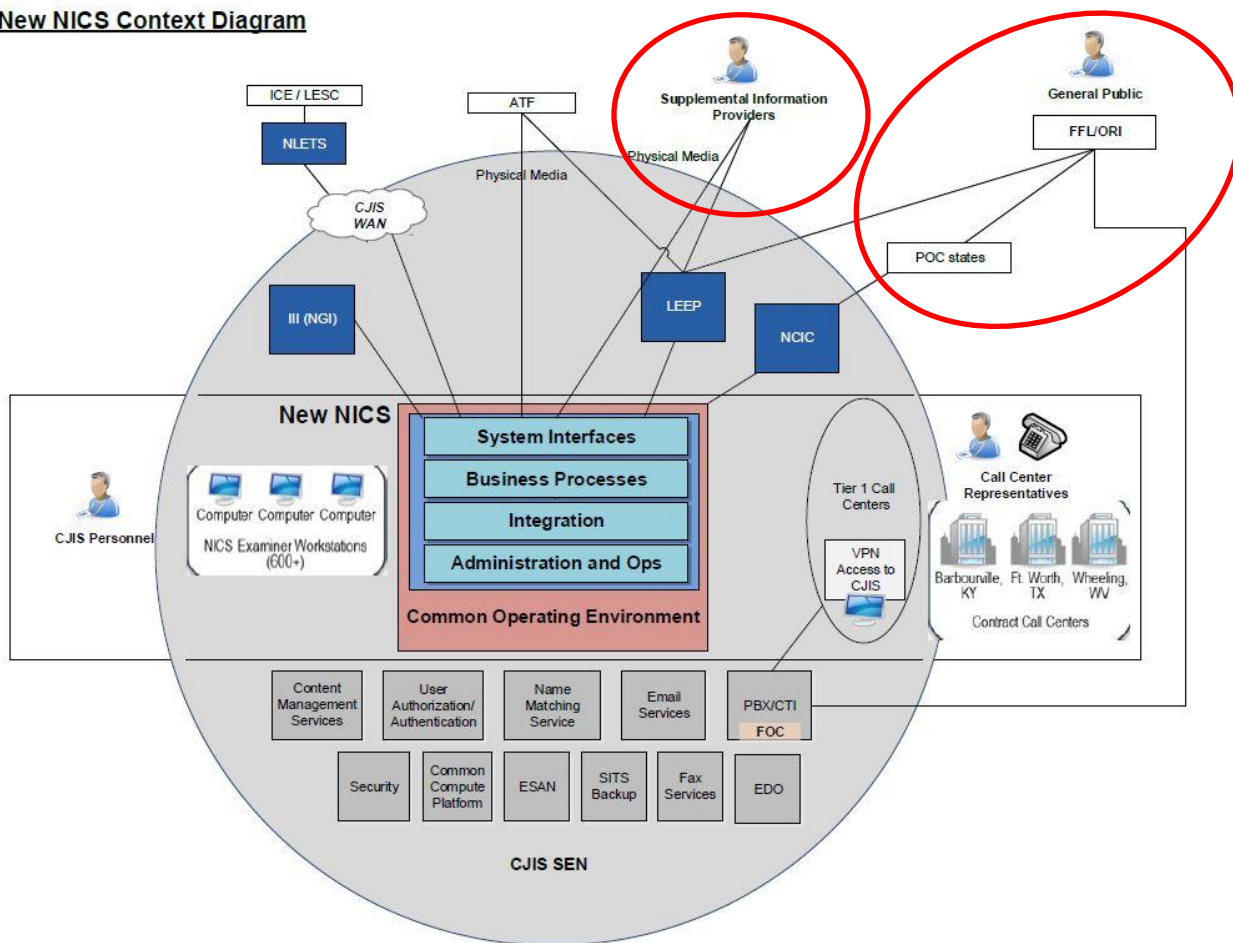


Figure 1-1 New NICS Context Diagram This appendix contains information regarding the relationship between the NICS system and NICS Indices.



## 2 NICS INDICES ADDS/UPDATES

### 2.1 Interface Description

#### 2.1.1 Web Interfaces

The ORIs (States, ICE/LESC, Department of Veterans Affairs, Department of Defense, and other Federal Agencies) that have LEEP accounts to access NICS may access NICS and upload batch files themselves. NICS Indices submissions may also be submitted via the NCIC Communications Socket in the form of various NICS Indices messages.

In summary ORIs can submit NICS Indices records via the following methods:

- NICS Web Application (authentication via LEEP)
- NICS Web Services (authentication via Data Powers)

#### 2.1.2 NCIC Interface

The NICS can add, update, cancel, and display NICS Indices information by enabling data exchanged with agencies through providing an electronic connection between NICS and the agencies. It is an E-Check 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, cancel, or display a denied person record in the NICS Indices. Only the agency that originally entered the NICS Indices record is authorized to submit updates to the record.

The NICS Indices Adds and Updates Interface is decomposed as below.

1. Add NICS Indices Record Request/Response – EDP
2. Modify NICS Indices Record Request/Response – MDP
3. Cancel NICS Indices Record Request/Response – XDP
4. Display NICS Indices Record Request/Response – QDP

### 2.2 Interface Initiation

When processing batch requests - upon receipt of the physical media from the Entity, a technician will upload that information into a staging area within NICS. Once staged, the records will be individually loaded into the NICS Indices via the NICS Indices Batch Agents which are running on all Pega Application Servers. All rejected records will be returned, as such, at the end of the process with descriptions of the problem. If a minor error is encountered, the system may continue to process the record.

When processing NCIC data connection socket requests—upon receipt of the message, the message will be parsed and verified. The socket will then invoke a NICS Web Service to add, update or cancel the appropriate NICS Indices Record. The Web Service will respond back to the socket process, and the socket will then transmit any report information back. For the purpose of this ICD, NCIC interface references the NICS/NCIC data socket connection via TCP/IP.

When processing NICS Indices via NICS Web Application, the ORI uploads the NICS Indices Batch file. The index records will be parsed and verified. The NICS Web Service will add, update or cancel the appropriate NICS Indices Record and respond back to the NICS Web Application User with the NICS Indices Record report. (FOC) ORIs will use the NICS Web Service to submit NICS Indices Records. The Web Service will respond back to ORI's client with the NICS Indices record report.

Once these records are added to the NICS Indices they will then be searched in all subsequent NICS Background Searches until such a time as they expire or are removed from the NICS Indices by the Entity that submitted them.

The following ICD Appendices contain additional specifications and/or Pseudo Code:

- The Appendix 1: NCIC Interface Specifications document contains additional specifications on NICS system and NICS Indices Records.
- The Appendix 5: NICS Background Check Interface specification document contains additional specifications on NICS systems.
- The Appendix 11: NICS Web Service Interface Specifications document contains additional specifications on NICS system and NICS Indices Records.

## **2.3 Communication Methods**

The submitting agencies will provide physical media (CD's) or attachment of new NICS Indices records (adds) and update via email to NICS or transmit them to NICS via the NCIC Socket, NICS Web Application, or (FOC) NICS Web Service.

The Agencies will integrate with NICS via their socket interface with the NCIC. NICS will in turn provide a socket interface to NCIC to allow them to pass the communication forward. This will allow the agencies to transmit NICS Indices record for Adds, Updates, Cancels, and Display. NICS custom interface will be implemented to listen to incoming requests thru open socket port and forward the requests as appropriate to the various business services. Agencies utilizing the NICS Web Application authenticate via LEEP, and the Agencies upload a NICS Indices Legacy format file for NICS Indices processing. (FOC) Agencies utilizing the NICS Web Service are authenticated via Data Powers and utilize xml format for NICS Indices processing. See NICS Web Service ICD for additional details.

## **2.4 Flow Control**

The submitting agencies will send new records (adds) and updates of NICS Indices record via physical media (CD's) or as email attachments to NICS. NICS technician will place the record in a designated staging area within NNICS for NICS Indices Daily Batch Interface to process and a success or failure status will be sent out to the submitting entities via NICS technician upon completion of the process.

The ORIs with NICS Indices record submission permission can upload their NICS Indices batch records through NICS Web Application. Each method of NICS Indices record submission utilizes the same legacy NICS text format. An ORI can submit a batch file containing one or

more NICS Indices records when utilizing the NICS Web Application or when submitting to a NICS technician, as opposed to submitting a single NICS Indices record via NCIC interface or (FOC) NICS Web Service.

An ORI who has submitted NICS Indices file via NICS Web Application is provided with the NICS Indices batch status: pending, processing, complete. The ORI can display the batch report to view batch processed outcome of each submitted record. The report will detail success, major error or minor error for each submitted record. (FOC) An ORI using the NICS Web Service would be provided the record report in the query response.

CJIS SEN provides the internet connection between NICS and NCIC providing for routing, error handling, session management, and transmission of the information.

The Entities utilize the National Crime Information Center (NCIC) Front-End (FE) to communicate with the NICS. The agencies use this interface to electronically submit add, modify, cancel, or display a denied person record in the NICS Indices.

## 2.5 Communication Details

### 2.5.1 Operations

**Table 2-1 NICS Indices Adds/Updates Batch Interface Message/File Operations**

Operation	Definition	Input	Output
FBI-FW-NNICSW-Work-NICSIndexProcessData	Operation that adds, updates, and cancels NICS Indices data to NICS Indices database.	Agency Batch Index Add Record, Agency Batch Index Modify Record, Agency Batch Index Supplemental Record, Agency Batch Index Cancel Record.	NICS Indices Batch Data Load Manager Report or NICS Indices single record response

**Table 2-2 NICS Indices Add/Updates Interface Operations**

Operation	Definition	Input	Output
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Operation	Definition	Input	Output
Add NICS Indices Record Request/Response– EDP	Add NICS Indices Record  Request allows an agency  to submit a request to  add a new record to the  NICS Indices.	Agency Index Add Request.	Agency Index Add Response.
Modify NICS Indices Record Request/Response – MDP	Modify NICS Indices Record Request allows an agency to submit a request to modify an existing record to the NICS Indices.	Modify NICS Indices Request.	Modify NICS Indices Response.
Cancel NICS Indices Record Request/Resp– XDP	Cancel NICS Indices Record Request allows an agency to cancel an existing record in the NICS Indices.	Cancel NICS Indices Request.	Cancel NICS Indices Response.
Display NICS Indices Record Request/Resp– QDP	Display NICS Indices Record Request allows an agency to submit a request to display an existing record in the NICS Indices.	Display NICS Indices Request.	Display NICS Indices Response.

## 2.5.2 Message/File Requirements

The following section describes the types of batch records submitted to the NICS Indices from contributing agencies and the format of each. These are the valid Message Keys permitted for ORI when submitting NICS Indices records:

- EDP                NICS Indices Add Request
- MDP                NICS Indices Modify Request
- SDP                NICS Indices Supplement Request
- XDP                NICS Indices Cancel Request
- QDP                NICS Indices Display Request (Not used for Batch submissions)

Each NICS Indices record must contain an MKE. A NICS Indices Batch Number is a number assigned by the submitting state that uniquely identifies the batch submission; and batch submissions will be processed in the following order per ORI per ARI or NRI key per MKE for sorting:

1. Add record (EDP)
2. Modify record (MDP)
3. Supplement record (SDP)
4. Cancel record (XDP)

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;
- 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.

Note that NCIC interface is single record NICS Indices submissions. The NCIC interface NICS Indices record contains a header field at the first data element. 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

This section applies to physical media only and should accompany each batch of data submitted to the NICS. Information provided on the NICS Transmittal Form for Agency Batch Data 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-xx or xxx” where xx or xxx is the character code for the submitting agency;
- Date;

- File Names (if multiple files);
- Number of Files on Media (if multiple files); and
- Number of Records on Media (for each file, if multiple files).

### 2.5.2.1 AGENCY INDEX ADD REQUEST FOR NCIC INTERFACE

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

**Table 2-3 Agency Index Add Request Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the MKE ("EDP"), ORI, NAM, SEX, RAC, DOB, SOR, EXP, PCA, ARI, OCA, HGT, WGT, POB, EYE, HAI, MNU, SOC, SMT, AKA, RTV, SST, SID and MIS	<b>HDR.EDP.ORI.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXX.SEX/X.RAC/X.DOB/YYYYMMDD.DOB/YYYYM MDD.SOR/XX.EXP/XXXXXX.DNY/XXXXXXXXXXXXXXXXXX XXXXXXXXXXXX.PCA/X.ARI/XXXXXXXXXXXX.OCA/XXXXX XXXX.HGT/XXX.WGT/XXX.POB/XX.EYE/XXX.HAI/XXX. MNU/XX-XXXXXXXXXXXX.MNU/XX- XXXXXXXXXXXX.SOC/XXXXXXXX.SOC/XXXXXXXX.S MT/XXXXXXXXXXXX.SMT/XXXXXXXXXXXX.AKA/XXXXXX XXXXXXXXXXXXXXXXXXXX.AKA/XXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX.RTV/XX.SST/XXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX.SID/XXXXXXXXXXXX.MIS/XXXXXX XX XXXXXXXXXXXXXXXXXXXX.</b>

### 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 Indices. The NICS responds with an acknowledgment or rejection message. Note that multiple Also Known As (AKA), Scars, Marks and Tattoos (SMT), Miscellaneous Numbers (MNU), Social Security Number (SOC), Race (RAC) and Date of Birth (DOB) 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). RTV and SST are **mandatory** when the PCA Code is I or MI. The State PCA (SPC) is **mandatory** if the PCA is J. Refer to the NICS State Prohibitor Statute Data Code Table for a complete list of current permissible values for the SPC.
3. SOR, DNY, OCA, HGT, WGT, POB, EYE, HAI, RAC, MNU, SOC, SMT, AKA, FBI, SID 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: 19400200, 00000210, 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.
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”, “or “MC”.
8. The EXP is not applicable if the PCA code is “D” or “MD”. The NICS system will reject the EXP if it is provided for these PCA codes.
9. The EXP may be mandatory for records with a \*PCA of “J” (State Prohibitor). For clarification on whether a specific SPC requires an expiration date, refer to the NICS State Prohibitor Statute Data Code Table.
10. 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.

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 19 of the NNICS ICD Document.

**Example:**

6L013949324823.EDP.SD3242342.NAM/DOE,  
FRANK.SEX/M.RAC/W.DOB/19560223.DOB/19650223.SOR/MD.EXP/19961212.DNY/CO  
OK 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.

### 2.5.2.2 AGENCY INDEX ADD RESPONSE FOR NCIC INTERFACE

The Agency Index Add Response is used by the NICS in response to an Agency Index Add Request to indicate that it was processed successfully.

**Table 2-4 Agency Index Add Request Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the NICS Response Header	6001HHHHHHHHHHHHHHHH or 6L01HHHHHHHHHHHHHHHH
2	Contains the ORI	BBBBBBBBBB
3	Contains "ACCEPT" and the MKE code "EDP"	ACCEPT MKE/EDP
4	Contains the NAM	NAM/XXXXXXXXXXXXX, XXXXXXXXX XXXXXXXXX XXXX
5	Contains the ARI	ARI/XXXXXXXXXXXXX
6	Contains the NRI	NRI/XXXXXXXXXXXXX

The line header in the above example and table contains the NICS Response Header. If the response is split into more than one message by NCIC, the first message will contain 6001. The last digit will be incremented by one for each message. The last message will be 6L0X (where X is the number of messages – e.g., 6L03 if the response were broken up into three messages).

### 2.5.2.3 AGENCY INDEX MODIFY REQUEST FOR NCIC INTERFACE

The Agency Index Modify Request is used by an agency to request the modification of an existing NICS Indices record.



**Table 2-5 Agency Index Modify Request Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the MKE, ORI, NAM, NRI, ARI, SEX, RAC, DOB, SOR, EXP, DNY, PCA, OCA, HGT, WGT, POB, EYE, HAI, MNU, SOC, SMT, AKA, RTV, SST, SID, and MIS	<b>HDR.MKE.ORI.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXX.NRI/XXXXXXXXXX.ARI/XXXXXXXXXXXXXXXXXX.SEX/X.RAC/X.DOB/YYYYMMDD;YYYYMMDD.DOB/YYYYMMDD;YYYYMMDD.SOR/XX.EXP/MMDDYY.DNY/XXX.PCA/X.OCA/XXXXXXXXXX.HGT/XXX.WGT/XXX.POB/XX.EYE/XXX.HAI/XXX.MNU/XX-XXXXXXXXXXXX;XX-XXXXXXXXXXXX.SOC/XXXXXXXXXX;XXXXXXXXXX.SOC/XXXXXXXXXX;XXXXXXXXXX.SMT/XXXXXXXXXXXX;XXXXXXXXXX.SMT/XXXXXXXXXXXX;XXXXXXXXXX.AKA/XXXXXXXXX,XXXXXXXX XXXXXXX;XXXXXXXXXXXX,XXXXXXXXXXXX.AKA/XXXXXXXX,XXXXXXXXXXXXXXXXXXXX;XX XXXXXX,XXXXXXXXXXXXXXXXXXXXXXXXXXXX.RTV/XX.SST/XX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.SID/XXX XXXXXXX.MIS/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.</b>

**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 Indices. Only the entering agency can modify a NICS Indices 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 fields that contain only one value, the proper format is

MFC/zzzzzzzzzz or MFC/- (where "-" will remove xxxxxxxxxx)

Only optional fields are permitted when MFC/- is used.

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

MFC/xxxxxxxxxxx; zzzzzzzzzzz or MFC/xxxxxxxxxxx;- (where "-" will remove xxxxxxxxxx)

Where xxxxxxxxxx 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, SOC, RAC, and DOB 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, and 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, SID, MIS, and FBI are **optional**. 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, field definitions and lengths, refer to Appendix 19 of NNICS 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. If the name provided in the NAM field does not exactly match the name that was provided when the record was created, the original name will be overwritten with the new value.

6. The DOB field may be used to modify a current NICS Indices 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: 19400200, 00000210, or 19400010).

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

7. 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.

8. If modifying the PCA to be a “C”, “A2”, “MC”, or “M2”, then EXP is mandatory.

9. If modifying the PCA to be a “D” or “MD”, the EXP is not applicable. The NICS system will reject the EXP if it is provided for these PCA codes.

10. If modifying the PCA to be an “I” or “MI”, the Relationship to Victim (RTV) and State Statute and Subsection (SST) fields are **mandatory**.

11. The EXP may be **mandatory** for records with a \*PCA of “J” (State Prohibitor). For clarification on whether a specific SPC requires an expiration date, refer to NICS State Prohibitor Statute Data Code Table.
12. If modifying the PCA to be a “J”, the SPC (State Prohibited Category Code) is **mandatory**.
13. If MIS is given, it will overwrite any miscellaneous comments already in the record.
14. The value of optional field(s) may be modified to a blank value by using a single hyphen as a new field value.

**Example:**

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

**2.5.2.4 AGENCY INDEX MODIFY RESPONSE FOR NCIC INTERFACE**

The Agency Index Modify Response is used by the NICS in response to an Agency Index Modify Request to indicate that it was processed successfully.

Table 2-6 Agenc y Index Modify Respon se Messa ge/File Requir ements <b>LINE</b>	<b>DESCRIPTION</b>	<b>FORMAT</b>
1	Contains the NICS Response Header	6001HHHHHHHHHHHHHHHH or 6L01HHHHHHHHHHHHHHHH
2	Contains the ORI	BBBBBBBBBB
3	Contains “ACCEPT” and the MKE code “MDP”	ACCEPT MKE/MDP
4	Contains the NAM	NAM/XXXXXXXXXXXXX, XXXXXXXX XXXXXXXX XXXX
5	Contains the ARI	ARI/XXXXXXXXXXXXX
6	Contains the NRI	NRI/XXXXXXXXXXXXX

### 2.5.2.5 AGENCY INDEX SUPPLEMENT REQUEST FOR NCIC INTERFACE

The Agency Index Supplement Request is used by an agency to add supplemental data to an existing NICS Indices record.

**Table 2-7 Agency Index Supplement Request Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the MKE, ORI, NRI, ARI, NAM, MNU, SOC, AKA, SMT, DOB, and MIS.	<b>HDR.MKE.ORI.NRI/XXXXXXXXXXXXXXXXX.ARI/XXXXXX XXXX.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX. MNU/XX-XXXXXXXXXX.MNU/XX- XXXXXXXXXX.SOC/XXXXXXXXXX.SOC/XXXXXXXXXX.AK A/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.AKA/XXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.SMT/XXXXXX XXX.SMT/XXXXXXXXXX.DOB/YYYYMMDD.DOB/YYYY MMDD.MIS/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.</b>

#### 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 Indices. 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**. Although these fields are optional, the record will be more complete and the background check more accurate if all available information is provided.
4. The name provided in the NAM field must exactly match the name that was provided when the record was created.
5. If MIS is given, it will be appended to any comments already in the record.
6. Note that any number of AKA, SMT, MNU, SOC and DOB fields can be specified.

#### EXAMPLE:

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

### 2.5.2.6 AGENCY INDEX SUPPLEMENT RESPONSE FOR NCIC INTERFACE

**Table 2-8 Agency Index Supplement Request Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the NICS Response Header	6001HHHHHHHHHHHHHHHH or 6L01HHHHHHHHHHHHHHHH
2	Contains the ORI	BBBBBBBBBB
3	Contains the word "Accept" and the MKE code "SDP"	ACCEPT MKE/SDP
4	Contains the NAM	NAM/XXXXXX, XXXXXXXXXXX XXXXXXXXXXX XXXX
5	Contains the ARI	ARI/XXXXXXXXXXXXXX
6	Contains the NRI	NRI/XXXXXXXXXXXXX

### 2.5.2.7 AGENCY INDEX CANCEL REQUEST FOR NCIC INTERFACE

The Agency Index Cancel Request is used by an agency to cancel an existing NICS Indices record.

**Table 2-9 Agency Index Cancel Request Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the MKE, ORI, NAM, NRI, ARI and RDQ	<b>HDR.MKE.ORI.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXX.NRI/XXXXXXXXXXXX.ARI/XXXXXXXXXXXX.RD Q/X.</b>

#### 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 Indices. 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. For field definitions and lengths, refer to Appendix 19 of NNICS ICD.

#### NOTES:

1. MKE is "XDP".
2. HDR, MKE, ORI, RDQ, and NAM are **mandatory**. NRI or ARI is also **mandatory**.
3. RDQ (Relief from Disabilities Question) is **mandatory** and represents the following information that must be provided by all agencies when cancelling a NICS Indices record: Is the deletion of this NICS Indices record due to the operation of the NIAA? The permissible values for RDQ are Y (Yes) or N (No).

4. The name provided in the NAM field must exactly match the name that was provided when the record was created.

**EXAMPLE:**

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

**2.5.2.8 AGENCY INDEX CANCEL RESPONSE FOR NCIC INTERFACE**

The Agency Index Cancel Response is used by the NICS in response to an Agency Index Cancel Request to indicate that it was processed successfully.

**Table 2-10 Agency Index Cancel Response Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the NICS Response Header	6001HHHHHHHHHHHHHHHH or 6L01HHHHHHHHHHHHHHHH
2	Contains the ORI	BBBBBBBBBB
3	Contains "ACCEPT" and the MKE code "XDP"	ACCEPT MKE/XDP
4	Contains the NAM	NAM/XXXXXXXXXXXXX, XXXXXXXX XXXXXXXX XXXX
5	Contains the ARI	ARI/XXXXXXXXXXXXX
6	Contains the NRI	NRI/XXXXXXXXXXXXX
7	Contains the RDQ answer	RDQ/X

**2.5.2.9 AGENCY INDEX DISPLAY REQUEST FOR NCIC INTERFACE**

The Agency Index Display Request is used by an agency to display an existing NICS Indices record.

**Table 2-11 Agency Index Display Request Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the MKE, ORI, NRI and ARI	HDR.MKE.ORI.NRI/XXXXXXXXXX.ARI/XXXXXXXXXX X.

**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 Indices. 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 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.

**2.5.2.10 AGENCY INDEX DISPLAY RESPONSE FOR NCIC INTERFACE**

The Agency Index Display Response is used by the NICS in response to an Agency Index Display Request.

**Table 2-12 Agency Index Display Response Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the NICS Response Header	6001HHHHHHHHHHHHHHHH or 6L01HHHHHHHHHHHHHHHH
2	Contains the ORI	BBBBBBBBBB
3	Contains the date and time	DATE: MM/DD/YYYY TIME: XX:XX:XX
4	Contains the "STATE INDEX DISPLAY RESPONSE" banner	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	Contains a visual separator	=====
6	Contains the NICS Indices data: NRI, STATUS, and expiration date	NRI: XXXXXXXXXXXX STATUS: ACTIVE EXPIRATION DATE: MM/DD/YYYY
7	Contains the NICS Indices data: PCA	PCA: X - XX XX
8	Contains the NICS Indices data: NAM	NAM: XXXXXXXXXXXXX(Up to 50 char), XXXXXXXXXXXX(Up to 50 char) XXXXXXXXXXXX(Up to 30 char) XXXX(Up to 4 char)
9	Contains the NICS Indices data: SEX, RAC and DOB	SEX: X RAC: X DOB: MM/DD/YYYY
10	Contains the NICS Indices data: HGT, WGT, EYE, and HAI	HGT: XXX WGT: XXX EYE: XXX HAI: XXX
11	Contains the NICS Indices data: POB and SOR	POB: XXXXXXXXXXXXXXXXXXXXXXXXXXXX(Up to 40 char) SOR: XX
12	Contains the NICS Indices data: SOC	SOC: XXXXXXXXXX; XXXXXXXXXX; XXXXXXXXXX; XXXXXXXXXX
13	Contains the NICS Indices data: SMT	SMT: XXXXXXXXXX; XXXXXXXXXX; XXXXXXXXXX; XXXXXXXXXX; XXXXXXXXXX
14	Contains the NICS Indices data: AKA	AKA: XXXXXXXXX, XXXXXXXXX; XXXXXXXXX, XXXXXXXX(Up to 100 char)

LINE	DESCRIPTION	FORMAT
15	Contains the NICS Indices data: MNU	MNU: XX-XXXXXXXXXXXX; XX-XXXXXXXXXXXX; XX-XXXXXXXXXXXX
16	Contains the NICS Indices data: MIS. Refer to the NICS SRS to determine when to display the alternate MIS format.	MIS: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXX OR  MIS: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXX  SPC: XXXXXX  SST: XXXXXXXXX  RTV: XXXXXXXXXXXXXXXXXXXXXXX  SSD:XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXX  XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXX  UCN: XXXXXXXXX
17	Contains the NICS Indices data: ORI and OCA	ORI: XXXXXXXXX OCA: XXXXXXXXX
18	Contains the NICS Indices data: DNY	DNY: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXX
19	Contains the NICS Indices data: DATA-SRC	DATA-SRC: XXX
20	Contains the NICS Indices data: ARI	ARI: XXXXXXXXXXXXXXXXXXXXXXX
21	Contains the NICS Indices data: CREATED-BY and CREATED-DATE	CREATED-BY: XXXXXXXXXXXXXXX CREATED-DATE: MM/DD/YYYY
22	Contains the NICS Indices data: UPDATED-BY and UPDATED-DATE	UPDATED-BY: XXXXXXXXXXXXXXX UPDATED-DATE: MM/DD/YYYY
23	Contains the last line of the Agency Index Display Response	NICS-END

#### 2.5.2.11 AGENCY REJECT MESSAGES FOR NCIC INTERFACE

The Agency Reject Messages are used by the NICS in response to any agency-submitted request to reveal any errors detected while processing the agency request.



**Table 2-13 Agency Reject Messages Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the NICS Response Header	6001HHHHHHHHHHHHHHHH or 6L01HHHHHHHHHHHHHHHH
2	Contains the ORI	BBBBBBBBBB
3	Contains "REJECT" and the MKE	REJECT MKE/XXX
4	Contains the MFCs	MFC/XXXXXXXXXXXXXXXXXX.MFC/XXXXXXXXXXXXXXXXXX. MFC/XXXXXXXXXXXXXXXXXX.
5	Contains the string "For The Following Reason(s)"	For The Following Reason(s)
6	Contains the Error Message. May be repeated as needed.	LL LLLLLLLLLLLLLLLLLLLL
7	Contains the last line of the Agency Reject Message	NICS-END

Below are examples of common reject messages used to respond to errors made by the states (examples one and two occur the most frequently):

**Example 1:**

```
REJECT MKE/EDP
NAM/MOUSE, MICKEY.SEX/M.RAC/B.DOB/19500101.EXP/20140514.
DNY/DRUG ENFORCEMENT ADMINISTRATION.PCA/A1.ARI/DEA-12345.POB/FL
FOR THE FOLLOWING REASON(S)
DUPLICATE RECORD
```

**Example 2:**

```
REJECT MKE/XDP
NAM/TEST, IAM.ARI/TEST12345.RDQ/N

FOR THE FOLLOWING REASON(S)
ORI NOT AUTHORIZED TO PERFORM REQUESTED ACTION - ORI/WY0110400
```

**Example 3:**

```
REJECT MKE/EDP
NAM/TEST, IAM.SEX/M.RAC/W.DOB/19650202.SOR/WY.EXP/20150101.
DNY/WYOMING DIVISION OF CRIMINAL INVESTIGATION.PCA/A.ARI/TEST12345.
```

OCA/TEST041013.HGT/500.WGT/200.POB/WY.EYE/BRO.HAI/BRO.SMT/ART L ARM.  
AKA/TESTING,IAM.MIS/TEST MESSAGE

FOR THE FOLLOWING REASON(S)

INVALID DATA - PCA/A

#### **Example 4:**

REJECT MKE/EDP

NAM/PLUTO, PLUTO.ARI/201304092.SEX/M.RAC/W.DOB/19900820.DOB/19900223.

SOR/NY.EXP/20120412.DNY/DISNEY

COUNTY.PCA/C.OCA/934234323.SOC/324932131.

AKA/SAMPLE, REMI.AKA/DOE,

SAMPLE.HGT/502.WGT/110.POB/FL.EYE/BLK.HAI/BLK.

SMT/SCAR ARM.

FOR THE FOLLOWING REASON(S)

INVALID DATA - EXP/04122012

#### **Example 5:**

ACCEPT MKE/EDP

NAM/CHEETOS, MICKEY

ARI/20130122

NRI/1506231211

ALTHOUGH THE RECORD WAS ADDED TO THE NICS INDICES, THE FOLLOWING  
FIELD(S) CONTAINED ERRORS AND WERE NOT ADDED:

INVALID DATA - SMT/SCAR R LEG

#### **Example 6:**

REJECT MKE/MDP

NAM/SNIGGI, TARA GEE HR.NRI/1506187233.ARI/NJ20130410141502552.

SOC/232323233;.AKA/;.

FOR THE FOLLOWING REASON(S)

INVALID MFC - SOC

INVALID MFC - AKA

### Example 7:

REJECT MKE/QNP

NAM/BAD,GUY.SEX/M.RAC/W.DOB/19550101.SOR/WY.PUR/A

FOR THE FOLLOWING REASON(S)

INVALID DATA: PUR CODE(S) MUST BE NUMERIC - PUR

ORI NOT AUTHORIZED TO PERFORM REQUESTED ACTION - PUR/A

INSUFFICIENT DATA, MISSING REQUIRED MFCS - FFL and/or SFL

### Example 8:

REJECT MKE/QN

SFL/98899998.PUR/01.NAM/TEST, TEST TEST.SEX/M.RAC/U.DOB/19800101.

SOC/999213728.POB/US.SOR/NV.STN/514429626.ATN/NV GUN CHECK.

FOR THE FOLLOWING REASON(S)

INVALID DATA - SOC/999213728

#### 2.5.2.12 AGENCY INDEX EXPIRATION NOTIFICATION

The Agency Index Expiration Notification is a NICS Indices Administrative Message used by the NICS to indicate to an agency that a NICS Indices record entered by their agency is scheduled to be purged.

**Table 2-14 Agency Index Expiration Notification Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the \$.NICS.DPX code	\$.NICS.DPX.
2	Contains the string "A RECORD IN THE NICS INDICES WILL EXPIRE."	A RECORD IN THE NICS INDICES WILL EXPIRE
3	Contains the string "IF THE EXPIRATION DATE IS NOT EXTENDED WITHIN 5 DAYS, THE RECORD WILL BE PURGED FROM THE NICS INDICES"	IF THE EXPIRATION DATE IS NOT EXTENDED WITHIN 5 DAYS, THE RECORD WILL BE PURGED FROM THE NICS INDICES
4	Contains the string "THE NICS INDICES DATA IS AS FOLLOWS:"	THE NICS INDICES DATA IS AS FOLLOWS:

LINE	DESCRIPTION	FORMAT
5	Contains the NRI or ARI and the expiration date	NRI: XXXXXXXXXXXX ARI: XXXXXXXXXXXXXXXXXXXX EXP: MM/DD/YYYY
6	Contains the PCA	PCA: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
7	Contains the ORI	ORI: XXXXXXXXXXXX
8	Contains the DNY	DNY: XX XXXXXXXXXXXXXXXXXXXX
9	Contains the NAM, SEX, RAC, and DOB	NAM: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX SEX: X RAC: X DOB: MM/DD/YYYY
10	Contains the HGT, WGT, POB, EYE and HAI	HGT: XXX WGT: XXX POB: XXXXXXXXXXXXXXXXXXXXX EYE: XXX HAI: XXX
11	Contains the SOC	SOC: XXXXXXXXXXX, XXXXXXXXXXX
12	Contains the SMT	SMT: XXXXXXXXXXX, XXXXXXXXXXX
13	Contains the AKA	AKA: XX
14	Contains the MNU	MNU: XX-XXXXXXXX, XX-XXXXXXXX
15	Contains the SOR and OCA	SOR: XX OCA: XXXXXXXXXXX

**EXAMPLE**

\$.NICS.DPX.

A RECORD IN THE NICS INDICES WILL EXPIRE.

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

THE NICS INDICES DATA IS AS FOLLOWS:

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

PCA: Controlled Substance Prohibitor

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

**2.5.2.13 AGENCY BATCH INDEX**

Once an ORI has authenticated onto the NICS Web Application, the ORI can upload a batch file for processing. As an alternative, an ORI can send physical media or electronically send (i.e., email) the batch file to be uploaded and processing by a NICS technician. Each batch has a completion status and processing report that the user may view.

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 Indices Liaison Analyst.

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. For the ease of processing, it is requested that records submitted be batched in 50,000 record increments. Example: If an agency has 150,000 records to submit, the agency will provide the FBI with three batch loads.

**2.5.2.14 AGENCY BATCH INDEX ADD RECORD**

The Agency Batch Index Add Record is used by an agency to submit new records to be added to the NICS Indices.

**Table 2-15 Agency Batch Index Add Record Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the ORI, NAM, SEX, DOB, PCA, ARI, EXP, OCA, HGT, RAC, SOR, WGT, POB, EYE, HAI, MNU, SOC, SMT, AKA, DNY, RTV, SST, SID, and MIS	<b>EDP.ORI.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.</b> <b>SEX/X.DOB/YYYYMMDD.DOB/YYYYMMDD.PCA/X.ARI/</b> <b>XXXXXXXXXXXXX.EXP/YYYYMMDD.OCA/XXXXXXXXXXXXX.H</b> <b>GT/XXX.RAC/X.SOR/XX.WGT/XXX.POB/XX.EYE/XXX.H</b> <b>AI/XXX.MNU/XX-XXXXXXXXXXXXX.MNU/XX-</b> <b>XXXXXXXXXXXXX.SOC/XXXXXXXXXXXXX.SOC/XXXXXXXXXXXXX.</b> <b>SMT/XXXXXXXXXXXXX.SMT/XXXXXXXXXXXXX.AKA/XXXXXXXX</b> <b>XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.AKA/XXXXXXXXXXXXXXXX</b> <b>XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.DNY/XXXXXXXXXXXXXXXXXXXXX</b> <b>XXX.RTV/X</b> <b>X.SST/XXX</b> <b>XXXXXXXX.SID/XXXXXXXXXXXXX.MIS/XXXXXXXXXXXXXXXXXXXX</b> <b>XXX</b> <b>XXXXXXXXXXXXX.</b>

**Explanation:**

This record allows the agency to add a record to the NICS Indices. Please note that you can specify multiple AKA, SMT, MNU, SOC and DOB 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). RTV and SST are **mandatory** when the PCA Code is I or MI. The State PCA (SPC) is **mandatory** if the PCA is J. Refer to the NICS State Prohibitor Statute Data Code Table for a complete list of current permissible values for the SPC.
3. SOR, DNY, OCA, HGT, WGT, POB, EYE, HAI, RAC, MNU, SOC, SMT, AKA, FBI, SID, 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: 19400200, 00000210, 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.

6. 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”, “A2”, “MC”, or “M2”.
8. The EXP is not applicable if the PCA code is “D” or “MD”. The NICS system will reject the EXP if it is provided for these PCA codes.
9. The EXP may be **mandatory** for records with a \*PCA of “J” (State Prohibitor). For clarification on whether a specific SPC requires an expiration date, refer to the NICS State Prohibitor Statute Data Code Table.
10. 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 19** of the NNICS ICD Document.

**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.

### 2.5.2.15 AGENCY BATCH INDEX MODIFY RECORD

The Agency Batch Index Modify Record is used by an agency to submit modifications to existing NICS Indices records.

**Table 2-16 Agency Batch Index Modify Record Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the ORI, NAM, ARI, NRI, SEX, RAC, DOB, SOR, PCA, EXP, DNY, OCA, HGT, WGT, POB, EYE, HAI, MNU, SOC, SMT, MIS, AKA, RTV, SID, and SST	MDP.ORI.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXX XX.ARI/XXXXXXXXXXXXXXXXXX.NRI/XXXXXXXXXX.SEX/X.R AC/X.DOB/YYYYMMDD;YYYYMMDD.DOB/YYYYMMDD; YYYYMMDD.SOR/XX.PCA/X.EXP/YYYYMMDD.DNY/XXX. OCA/XXXXXXXXXXXX.HGT/XXX.WGT/XXX.POB/XX.EYE/ XXX.HAI/XXX.MNU/XX-XXXXXXXXXXXX;XX- XXXXXXXXXXXX.SOC/XXXXXXXXXX;XXXXXXXXXX.SOC/XX XXXXXXXXXX;XXXXXXXXXX.SMT/XXXXXXXXXXXX;XXXXXX XXX.SMT/XXXXXXXXXXXX;XXXXXXXXXXXX.MIS/XXXXXX XXXXXXXXXXXXXXXXXXXX.AKA/XXXXXXXX,XXXXXX XXXXXXXXXX;XXXXXXXXXXXX,XXXXXXXXXX XXXXXXXXXX.AKA/XXXXXXXX,XXXXXXXXXXXX XXXXXX;XXXXXXXXXX,XXXXXXXXXXXX XXXXXXXXXX.RTV/XX.SST/XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX.SID/XXXXXXXXXX

**Explanation:**

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

For fields that contain only one value, the proper format is

MFC/zzzzzzzzzz or MFC/- (where "-" will remove xxxxxxxxxx)  
Only optional fields are permitted when MFC/- is used.

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

MFC/xxxxxxxxxx;zzzzzzzzzz. or MFC/xxxxxxxxxx;- (where "-" will remove xxxxxxxxxx)

Where xxxxxxxxxx is the current data, the separator is a semi-colon (;), and zzzzzzzzzz is the new data. Note: Multiple AKA, SMT, MNU, and SOC fields may be supplied in a single record. Data must be included in place of the zzzzzzzzzz or else 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. SEX, RAC, DOB, SOR, EXP, DNY, PCA, OCA, SOC, AKA, HGT, WGT, POB, EYE, HAI, SMT, MNU, SID, MIS, and FBI are optional. 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 19** of the NNICS ICD Document. The value of an optional field may be modified to a blank value by using a single hyphen as a new field value.
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. If the name provided in the NAM field does not exactly match the name that was provided when the record was created, the original name will be overwritten with the new value.
  6. The DOB field may be used to modify a current NICS Indices 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: 19400200, 00000210, or 19400010).
- Note: The DOB field cannot be modified with all zeros.**
7. 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.
  8. If modifying the PCA to be a “C”, “A2”, “MC”, or “M2”, then EXP is **mandatory**.
  9. If modifying the PCA to be a “D” or “MD”, then EXP is not applicable. The NICS system will reject the EXP if it is provided for these PCA codes.
  10. If modifying the PCA to be an “I” or “MI”, the Relationship to Victim (RTV) and State Statute and Subsection (SST) fields are **mandatory**.
  11. The EXP may be mandatory for records with a \*PCA of “J” (State Prohibitor). For clarification on whether a specific SPC requires an expiration date, refer to NICS State Prohibitor Statute Data Code Table.
  12. If modifying the PCA to be a “J”, the SPC (State Prohibited Category Code) is **mandatory**. For a list of allowable SPC values, refer to NICS State Prohibitor Statute Data Code Table.
  13. If MIS is given, it will overwrite any miscellaneous comments already in the record.
  14. The value of optional field(s) may be modified to a blank value by using a single hyphen as a new field value.

#### **2.5.2.16 AGENCY BATCH INDEX SUPPLEMENT RECORD**

The Agency Batch Index Supplement Record is used by an agency to request supplemental data to be added to specified existing NICS Indices Records.

**Table 2-17 Agency Batch Index Supplement Record Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the MKE, ORI, NRI, ARI, NAM, MNU, SOC, DOB, SMT, AKA, and MIS	<b>SDP.ORI.NRI/XXXXXXXXXXXXXXXXX.ARI/XXXXXXXXXXXXX.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.MNU/XX-XXXXXXXXXXXXX.MNU/XX-XXXXXXXXXXXXX.SOC/XXXXXXXXXXXXX.SOC/XXXXXXXXXXXXX.DOB/YYYYMMDD.DOB/YYYYMMDD.SMT/XXXXXXXXXXXXX.AKA/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.SMT/XXXXXXXXXXXXX.AKA/XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.MIS/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.</b>

**Explanation:**

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

**Notes:**

1. MKE is "SDP".
2. 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, DOB, SMT, MNU and MIS are **optional**. Although these fields are optional, the record will be more complete and the background check more accurate if all available information is provided.
4. The name provided in the NAM field must exactly match the name that was provided when the record was created.
5. If MIS is given, it will be appended to any comments already in the record.
6. Note that you can specify any number of AKA, SMT, MNU, SOC, and DOB fields.

**Example:**

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

**2.5.2.17 AGENCY BATCH INDEX CANCEL RECORD**

The Agency Batch Index Cancel Record is used by an agency to submit a request to cancel specified existing NICS Indices records.

**Table 2-18 Agency Batch Index Cancel Record Message/File Requirements**

LINE	DESCRIPTION	FORMAT
1	Contains the ORI, NAM, RDQ, ARI, and NRI	<b>XDP.ORI.NAM/XXXXXXXXXXXXXXXXXXXXXXXXXXXXX.XX.ARI/XXXXXXXXXXXXX.NRI/XXXXXXXXXXXXX.RDQ/X</b>

**Explanation:**

This record allows the agency to cancel a record in the NICS Indices. 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, RDQ, and NAM are **mandatory**. NRI or ARI is also **mandatory**.
3. RDQ (Relief from Disabilities Question) is required and represents the following information that must be provided by all agencies when cancelling a NICS Indices record: Is the deletion of this NICS Indices record due to the operation of the NIAA? The permissible values for RDQ are Y (Yes) or N (No).
4. The name provided in the NAM field must exactly match the name that was provided when the record was created.

**Example:**

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

**2.5.3 Data Fields**

The various NICS notifications and responses contain a multitude of acronyms, which have been defined below. Field format and length descriptions can be referenced in Appendix 19 of NNICS ICD.

**Table 2-19 Agency Index Reocrd Message/File Requirements**

FIELD	DESCRIPTION	APPLICABLE TO
AKA	Also Known As: (Surname, First Middle Cadence). There may be multiple occurrences for each subject.	QDP response, EDP, MDP, Reject
ARI	Agency Record Identifier	QDP response, EDP, MDP, XDP, and Reject
DNY	Denying Agency	QDP response, EDP and MDP
DOB	Date of Birth: MMDDYY or YYYYMMDD	QNR, EDP, MDP, reject
EYE	Eye color	QDP response, EDP, MDP
EXP	Expiration Date	EDP, MDP
HAI	Hair color	QDP response, EDP, MDP

FIELD	DESCRIPTION	APPLICABLE TO
HDR	Header applies to NCIC data socket communication only and identifies type and source of a request within the agency	QDP response, EDP, MDP, XDP, Reject
HGT	Height in inches	EDP, MDP
MFC	Message Field Codes	Reject
MKE	Message Key	QDP response, EDP, MDP, XDP, Reject
MNU	Miscellaneous Identification number. There may be multiple occurrences for each subject.	QDP response, EDP, MDP, Reject
NAM	Name (Surname, First Middle Cadence)	QNR, QDP response, EDP, MDP, XDP, Reject
NRI	NICS Record Identifier	QDP responses, EDP, MDP, XDP and Reject
OCA	Originating Agency Case Number	QDP response, EDP, MDP
ORI	Originating Agency Identification Number	QDP response, EDP, MDP, XDP, Reject
PCA	Category of Prohibited Persons	EDP, MDP
POB	Place of birth	QDP response, EDP, MDP
RAC	Race. There may be multiple occurrences for each subject.	QDP response, EDP, MDP
RDQ	Relief From Disabilities Question	XDP
RTV	Relationship to Victim	EDP, MDP
SEX	Gender	QDP response, EDP, MDP, XDP
SID	State ID	EDP, MDP
SMT	Scars, Marks, Tattoos and Other Characteristics	QDP response, EDP, MDP, Reject
SOC	Social Security Number	QDP response, EDP, MDP, Reject
SOR	State of Residence	QDP response, EDP, MDP

FIELD	DESCRIPTION	APPLICABLE TO
SST	State Statute and Subsection	EDP, MDP
WGT	Weight in pounds	QDP response, EDP, MDP

## 2.6 Security Requirements

The Agency providing the information may only update records that it has added itself; no one else may update the Entity's records. For NICS Indices data, NICS/FBI will follow the specifications prescribed in the FISMA CJIS Protection Profile. And NICS Indices data provided by the entities via Physical media (CD's) or attachment in email will be virus scanned, unencrypted, approved and unzipped in text file format for NICS Indices Batch Interface to process.

## 2.7 Information Sharing Requirements

NICS Indices information is used for Background Checks internal to the FBI, and information may be transmitted to submitting agencies when performing their checks to determine firearm eligibility.

## 2.8 Interface Implementation with NICS technician assistance

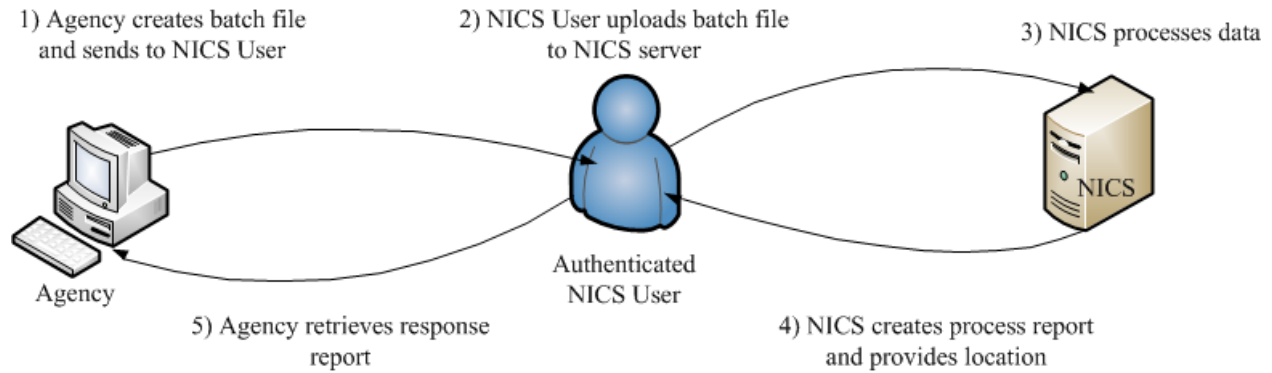


Figure 2-1 Agency interface to NICS Indices with NICS technician

## 2.9 Interface Implementation via (FOC) NICS Web Services

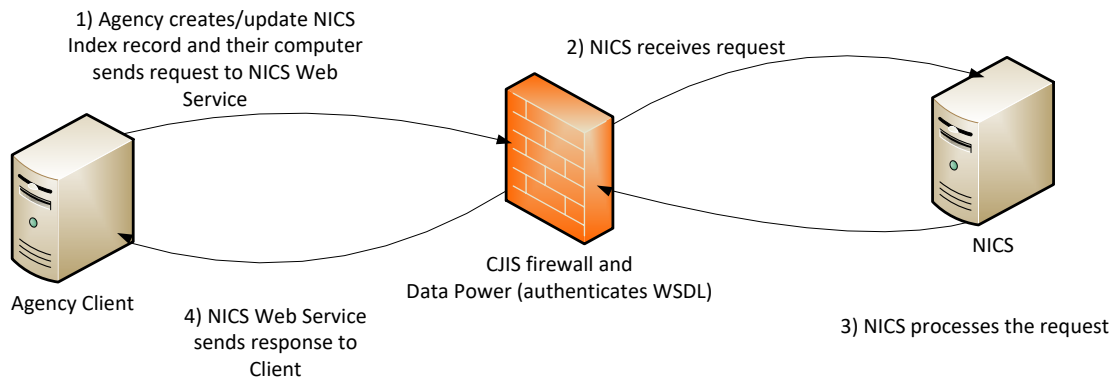
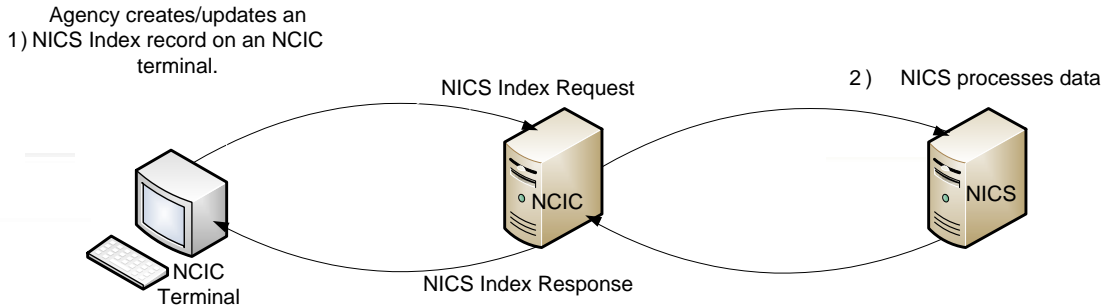


Figure 2-2 Agency interface to NICS Indices with (FOC) NICS Web Service

## 2.10 Interface Implementation via NCIC Interface



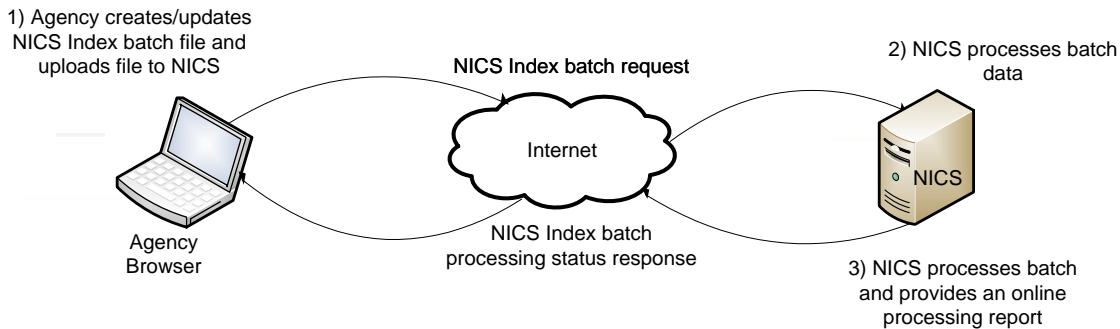
**Figure 2-3 Agency interface to NICS Indices with NCIC interface**

The NICS interface with NCIC will be organized around several program units due to the complexity and number of different request/responses which can be handled by the interface.

**Table 2-20 NICS Indices Adds/Updates Interface Software Units**

Software Unit	Purpose
NCIC Communications Interface Socket Listener	This Listener will maintain an open socket port awaiting incoming requests from NCIC. It will then format and forward the requests as appropriate to the various business services that will actually perform these actions.
AddNICSIndexRecordAgency	This service will handle adding NICS Indices records requested via the Agency Record Request Message.
ModifyNICSIndexRecordAgency	This service will handle modifying existing NICS Indices records requested via the Agency Record Request Message.
CancelNICSIndexRecordAgency	This service will handle canceling existing NICS Indices records requested via the Agency Record Request Message.
DisplayNICSIndexRecordAgency	This service will handle displaying NICS Indices records requested via the Agency Record Request Message.

## 2.11 Internal Implementation via Internet



**Figure 2-4 Agency interface to NICS Indices with Web Browser**

Other NICS Indices update methods can be found in the following documents:

- NCIC interface –NNICS ICD Appendix 1
- NICS Web Application (authentication via LEEP) – NNICS System Design Document
- NICS Web Services (authentication via Data Powers) - NNICS ICD Appendix 11

### 2.11.1 Tunable Parameters

**Table 2-20 Tunable Table for NICS Indices data processing**

Type of Tunable Item	Default Value(s)
nics.interfaces.nicsindex.processdata.logfile	nics/nicsindex/processdata/errorlog.txt
nics.interfaces.nicsindex.processdata.maxRecords	10000
nics.interfaces.nicsindex.processdata.maxRetries	3
nics.interfaces.nicsindex.processdata.retryInterval	30 seconds
nics.interfaces.nicsindex.processdata.responselink	nics/nicsindex/processdata/responselink.xml
nics.interfaces.nicsindex.processdata.IsEnabled	Y

### 2.11.2 Pseudo Code

#### FBI-FW-NNICSFW-Work-NICSIndexProcessData

(Referenced from Figure 2.1)

- 1) The requesting ORI (States, ICE/LESC, Department of Veteran Affairs, Department of Defense, and other Federal Agencies) will create a batch file of updates to the NICS Indices database and sends to the NICS for daily batch processing. The file may be delivered on physical media to a NICS technician or emailed to NICS or uploaded directly by any authenticated NICSUser. The NICS user will then log into the NICS



application and upload the file to a staging area for NICS Indices Batch Interface to process.

- 2) The NICS user will manually open an email and down the attachment file to a designated staging area in NICS server for NICS Indices Daily Batch Interface to process. Upon completion of the process, NICS Indices Daily Batch Interface will send out a success or failure note, with a response file back to the NNICS technician to send it to the original requesting agencies. (ICE/LESC, Department of Veteran Affairs, Department of Defense, and other Federal Agencies)
  - a. Tunable Parameters:
    - i. nics.interfaces.nicsindex.processdata.logfile
    - ii. nics.interfaces.nicsindex.processdata.maxRecords
    - iii. nics.interfaces.nicsindex.processdata.maxRetries
    - iv. nics.interfaces.nicsindex.processdata.retryInterval
    - v. nics.interfaces.nicsindex.processdata.responselink
    - vi. nics.interfaces.nicsindex.processdata.IsEnabled
  - b. NICS Indices Daily Batch Interface process steps:
    - i. NICS Indices Daily Batch Interface process will fetch and parse the For NICS Indices data. Change, add, or delete command cannot be understood
      1. PEGA will fetch the attachment file and parse into NNICS Indices database.
      2. Create an error record when the attachment file is in un-processable format.
      3. NICS custom interface will parse the attachment file if it errors out and reformat it in a format that PEGA can process and drop the file into a designated staging area in NNICS server.
      4. NICS custom interface will invoke PEGA processor in step 1.

Process Status message:

5. Process status (success or error) of the record.
6. Error condition of the record if error.

## 2.12 Interface Processing Time Requirements

When running as a batch – the interface will not require any interactive interface processing time requirements. When running as a socket all transactions need to be completed before a tunable timeout window.