TRIBAL ACCESS PROGRAM
FOR NATIONAL CRIME INFORMATION
ENSURING THE EXCHANGE OF CRITICAL DATA

U.S. Department of Justice
Office of the Chief Information Officer

Job Aid | How to Run and Read a Criminal History Record

Purpose: The purpose of this job aid is to provide an overview of how to request a subject's criminal history and how to read the record information that is returned. Criminal histories are name-based checks initiated through the Justice Web Interface to NCIC (JWIN).

A **Criminal History Record**, also known as a Record of Arrests and Prosecutions (RAP) sheet, is obtained as the result of a name-based record check in the Interstate Identification Index (III). III searches a national index of criminal histories; the actual histories are located in each individual state's repository. These records are obtained from all 50 states and D.C., including some records retained by the FBI. The RAP sheet contains information about the subject's arrests, adjudications, and sex offender registrations if applicable.

Through the Tribal Access Program (TAP), criminal justice agencies such as Law Enforcement, Prosecutors, Corrections, Criminal Courts, Pretrial Services, and Probation/Parole offices can access criminal history information for investigative purposes and criminal justice employment checks. Non-criminal justice agencies like Civil Courts and Child Protective Services can also access criminal history information for limited purposes as described below.

Agency Use

- Law Enforcement, Prosecutors, Corrections, Criminal Courts, Pretrial Services, and Probation/Parole offices can run criminal histories for investigative purposes and criminal justice employment checks.
- Civil Courts can access criminal history information to aid in making decisions regarding subject's arrests for domestic violence and stalking.
- Child Protective Services can access criminal history information for subjects under investigation for child abuse, neglect, or exploitation.
- Social Services/Indian Child Welfare Programs do not have legal authority to run name-based record checks for non-criminal justice agency employment.
- Public Housing can request Law Enforcement to a conduct name-based criminal Index Inquiry (QH) of employees or prospective employees, and on adult applicants or tenants receiving housing assistance for the purpose of screening, lease enforcement, or eviction. An affirmative or negative response is provided only.

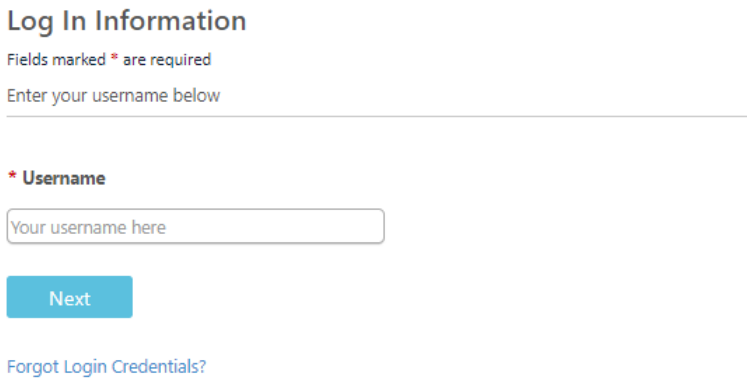
A comprehensive name-based check may require up to three steps to obtain all available information. Follow these steps in this order:

- Conduct an Index Query (QH) to determine if the subject has a criminal history.
- Conduct a Record Request (QR) to receive copies of all available criminal histories.
- If a state search is needed, conduct an International Justice and Public Safety Network (Nlets) State Criminal History Record Inquiry (Identity Query (IQ)/Full Criminal History Query (FQ)).

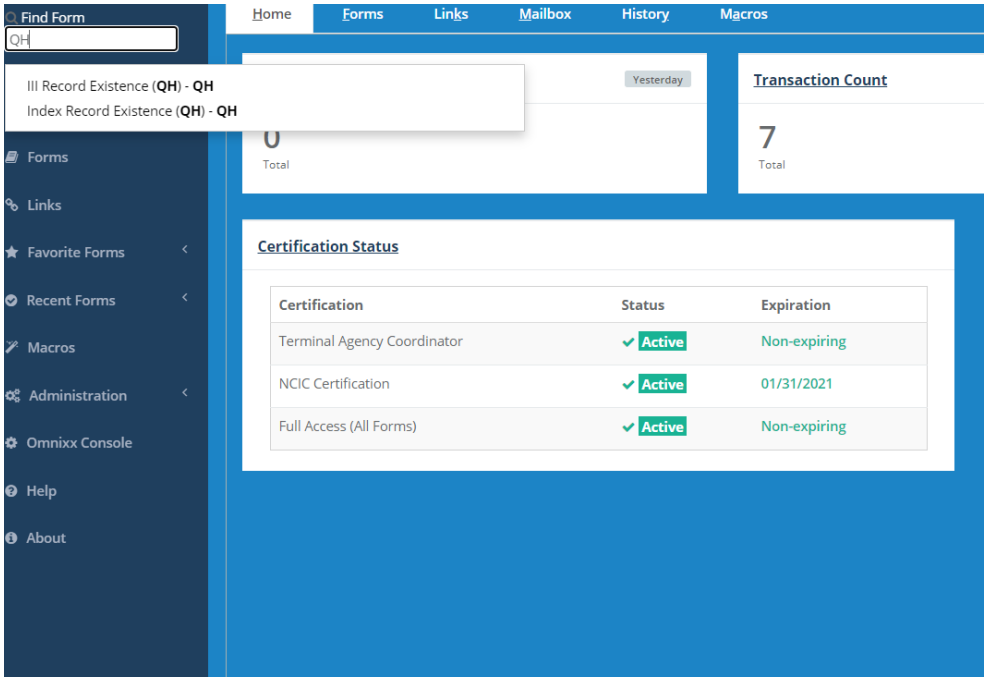
Part 1: Conduct an Index Query (QH)

Step 1.1 – Access the Justice Web Interface to NCIC via https://csa.justice.gov.

Step 1.2 – Log in to JWIN with your User ID and password

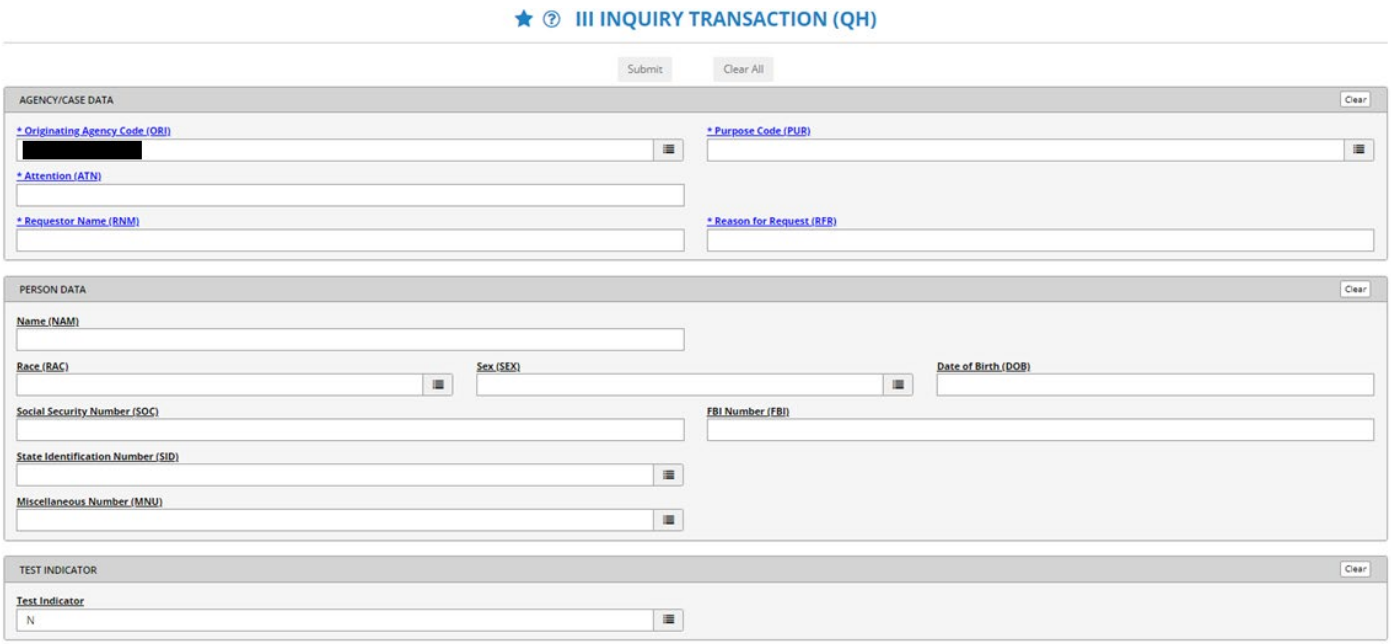


Step 1.3 – In Find Forms, enter QH in the search bar and select III – Record Existence.



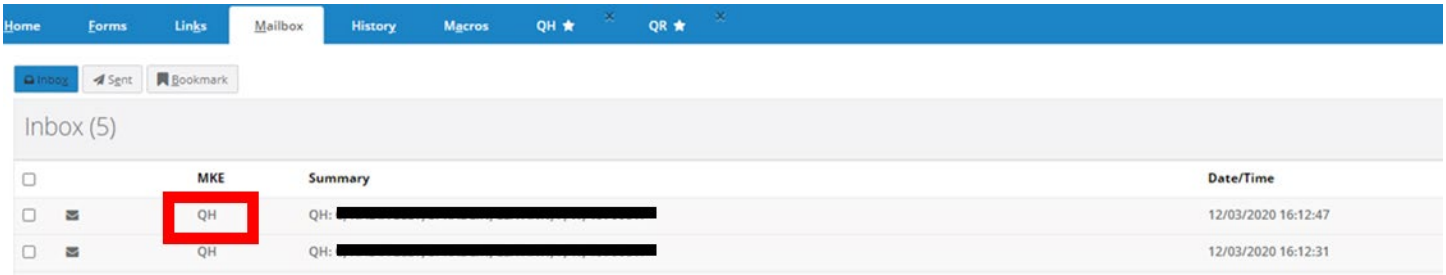
Step 1.4- Enter the required information. All fields marked with a blue asterisk * are required.

- Verify that the appropriate ORI for the requesting agency is in the **Originating Agency Code (ORI)** field. For example, the Public Housing ORI should be entered when Law Enforcement is conducting an Index Inquiry for the agency.
- Enter the subject's name, **Sex**, **Race**, and **Date of Birth**. Leave optional fields blank unless information is known.
- Enter the correct purpose code under **Purpose**.
  - Purpose Code C: Used by criminal justice agencies and child protective services for official duties in connection with the administration of criminal justice and investigations
  - Purpose Code J: Used by criminal justice agencies to run background checks for criminal justice agency employment
  - Purpose Code D: Used by civil courts in the investigation of domestic violence/stalking only
  - Purpose Code H: Used by criminal justice agencies when providing a Yes or No to a housing agency
  - Purpose Code X: Used by Bureau of Indian Affairs (BIA) when child placement is necessary under exigent circumstances
- Fill **Attention** with the name of the person who will receive the criminal history.
- Enter a **Reason for Request**. This is a free form text box. Provide a specific reason you need the information (case number or specific record identifier is best, a description of the request "pre-employment – Job Opening No." criminal investigation + Case Number, Housing applicant check).
- Fill **Requestor Name** with the name of the person who is actually running the query.
- Click **Submit**.



Step 1.5 – Locate Return in Mailbox.

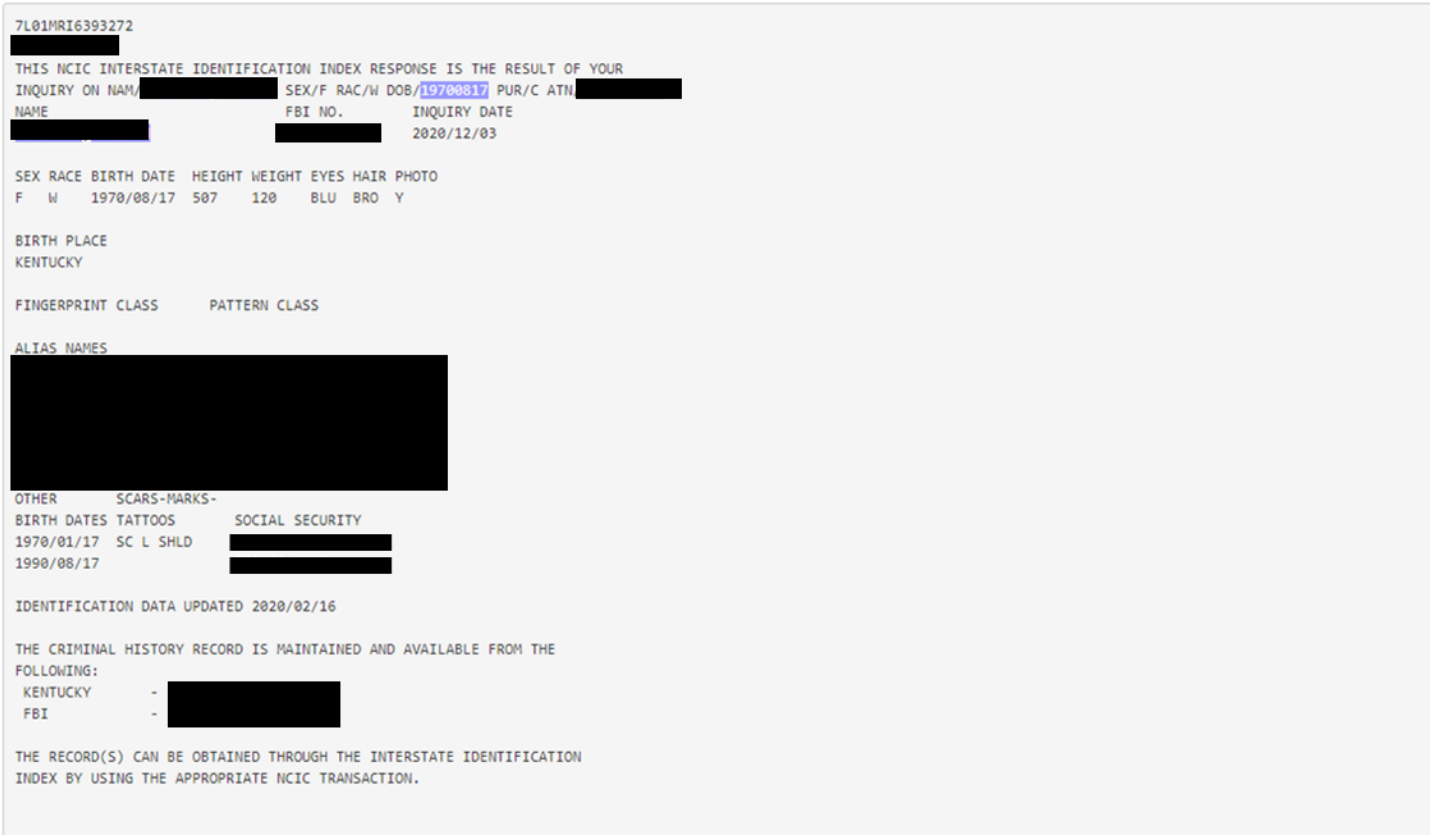
An Acknowledgement (ACK) is received indicating the message was sent and accepted by III. The return can be found in Mailbox.



Step 1.6 – Review QH response

This response contains identifying information on your subject along with the information queried.

If the subject has a criminal history, the response provides you with an UCN/FBI Number and/or a State Identification Number (SID). These numbers are located at the bottom of the report. Copy down the numbers. You will need one of them to conduct the QR (Record Request). The records can only be queried by the State ID or UCN/FBI.



7L01MRI6393272
[redacted]
THIS NCIC INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
INQUIRY ON NAM/[redacted] SEX/F RAC/W DOB/19700817 PUR/C ATN[redacted]
NAME FBI NO. INQUIRY DATE
[redacted] [redacted] 2020/12/03

SEX RACE BIRTH DATE HEIGHT WEIGHT EYES HAIR PHOTO
F W 1970/08/17 507 120 BLU BRO Y

BIRTH PLACE
KENTUCKY

FINGERPRINT CLASS PATTERN CLASS

ALIAS NAMES
[redacted]

OTHER SCARS-MARKS-
BIRTH DATES TATTOOS SOCIAL SECURITY
1970/01/17 SC L SHLD [redacted]
1990/08/17 [redacted]

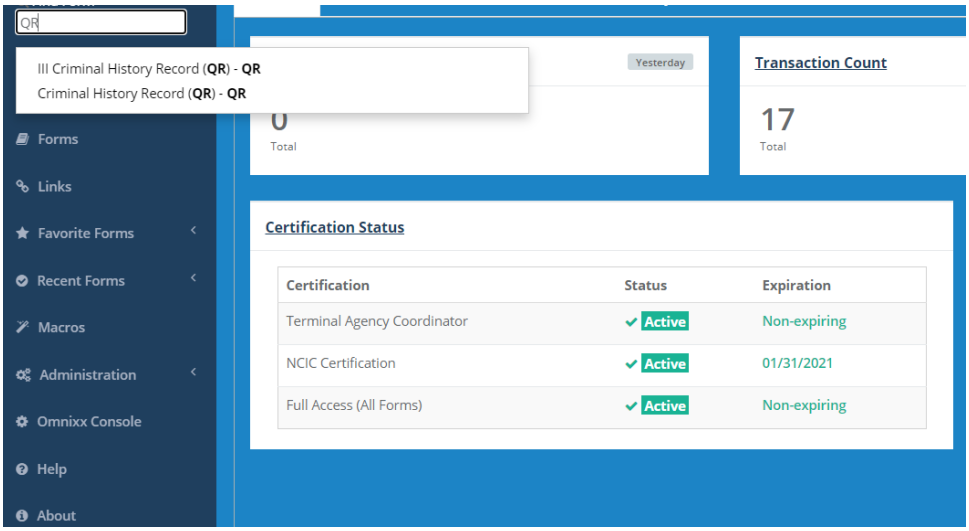
IDENTIFICATION DATA UPDATED 2020/02/16

THE CRIMINAL HISTORY RECORD IS MAINTAINED AND AVAILABLE FROM THE
FOLLOWING:
KENTUCKY -
FBI - [redacted]

THE RECORD(S) CAN BE OBTAINED THROUGH THE INTERSTATE IDENTIFICATION
INDEX BY USING THE APPROPRIATE NCIC TRANSACTION.

Part 2: Conduct a Record Request (QR)

Step 2.1 – From the Forms search bar, enter QR, and then select III Criminal History Record (QR)



Step 2.2 - Enter the required information. All fields marked with a red asterisk * are required.

A. Enter the correct purpose code in the **Purpose** field.
   - Purpose Code C: Used by criminal justice agencies, civil courts, and child protective services for official duties in connection with the administration of criminal justice and/or investigations
   - Purpose Code J: Used by criminal justice agencies for running background checks for employment with that agency
   - Purpose Code D: Used by civil courts in the investigation of domestic violence/stalking
   - Purpose Code X: Used by BIA when child placement is necessary under exigent circumstances

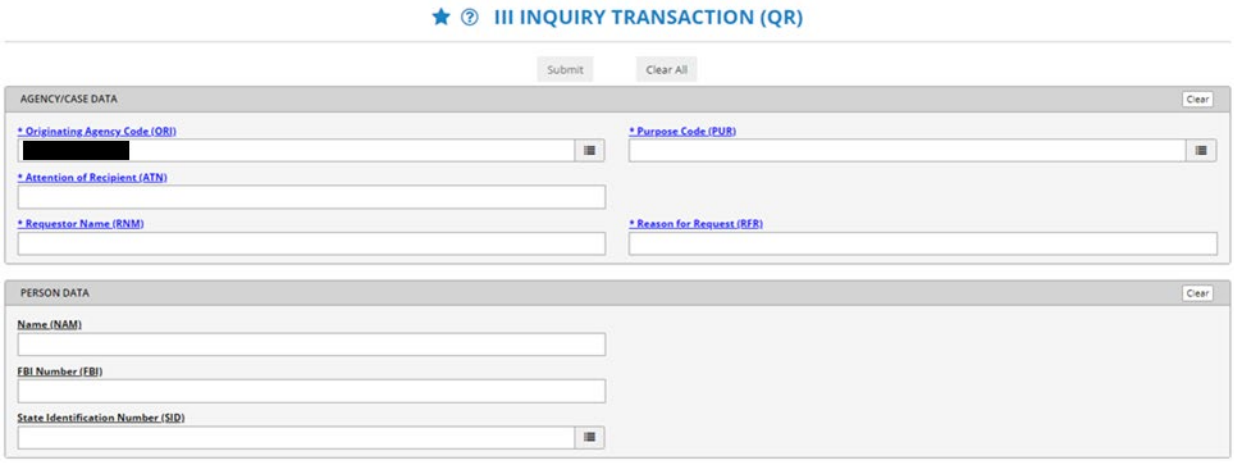
B. Complete the **Attention** field with the name of the person who will receive the criminal history.

C. Complete the **Reason for Request** field. This field is a free form text box. Provide a specific reason you need the information. (e.g. Case number or specific record identifier a description of the request such as pre-employment – Job Opening No., a criminal investigation + Case Number)

D. Complete the **Requestor Name** field with the name of the person who is actually running the query.

E. Enter the UCN/FBI or State ID that was on the QH, but not both. The system will respond with an error message if both are entered.

F. Click **Submit**.



Step 2.3 – Locate Return in Mailbox

An Acknowledgement (ACK) is received indicating the message was sent and accepted by III. The QR and CR will be available in the Mailbox.

Step 2.4 – Review Responses

A CR that contains a complete criminal history from each contributing state.

A QR response from NCIC that states:

THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR
RECORD REQUEST FOR FBI/##########. INDIVIDUAL'S RECORD WILL BE
COMPLETE WHEN ALL RESPONSES ARE RECEIVED FROM THE FOLLOWING SOURCES:
FBI - FBI/#########
Kentucky - STATE ID/###############

How to read a Criminal History Record

The standardized FBI format contains four parts: Introduction, Identification, Criminal History and List of Agencies that contributed to this criminal history. The first Nlets return will usually be from the FBI records attached to the subject. Any other states that have history on the subject will follow with their own Nlets messages. If the subject has an extensive criminal history, there may be many Nlets messages. Every state can have its own format, but they follow a similar pattern. (Some states, such as AZ, will return one CR for each page of the Criminal History Record.)

```
CR.WVFBINF00
14:19 12/03/2020 55063
14:19 12/03/2020 17286 [redacted]
*MRI6393741
TXT
HDR/2L01MRI6393741
ATN/[redacted]
**********  CRIMINAL HISTORY RECORD  **********

**************************  Introduction  **************************

This rap sheet was produced in response to the following request:

FBI Number              [redacted]
Request Id              MRI6393741
Purpose Code            C
Attention               [redacted]
```

Arrest Cycle

Each arrest cycle is a separate entry. The same cycle number pertains to the same criminal episode. Each cycle will show the date of arrest, agency case number (if assigned), the arresting agency and the charge. In this case, the second part of cycle 1 shows the court disposition. The subject pleaded guilty to the charge and was sentenced to 18 months in the Bureau of Prisons (BOP) and was ordered to pay $5382 in restitution.

```
============================== Cycle 001 ==============================
Earliest Event Date     2007-04-25
-----------------------------------------------------------------------
Arrest Date             2007-04-25
Arrest Case Number
Arresting Agency        [redacted] LOUISVILLE
Subject's Name          [redacted]
Charge                  1
        Charge Literal  4903 - AIDING PRISONER ESCAPE
              Severity  Unknown
-----------------------------------------------------------------------
Court Disposition       (Cycle 001)
Court Case Number
Court Agency
Charge                  1
        Charge Literal  ASSISTING ESCAPE
           Disposition  ( 08-18-2008 TIME SERVED, 3 YRS SUPV REL)

-----------------------------------------------------------------------
```

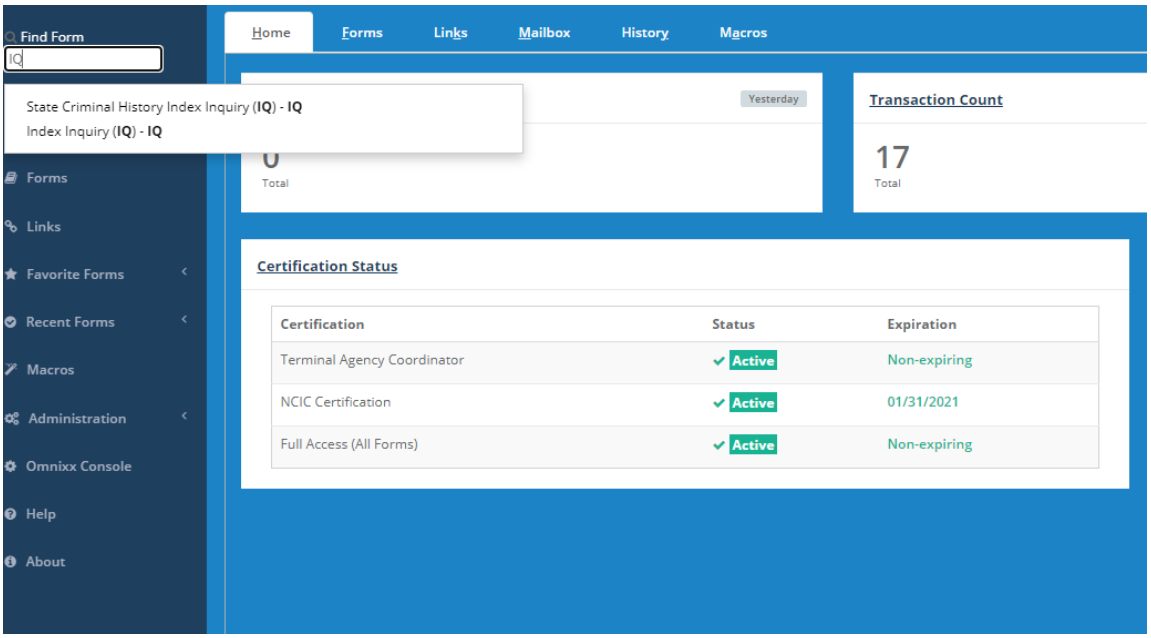
Arrest Information

Disposition Information

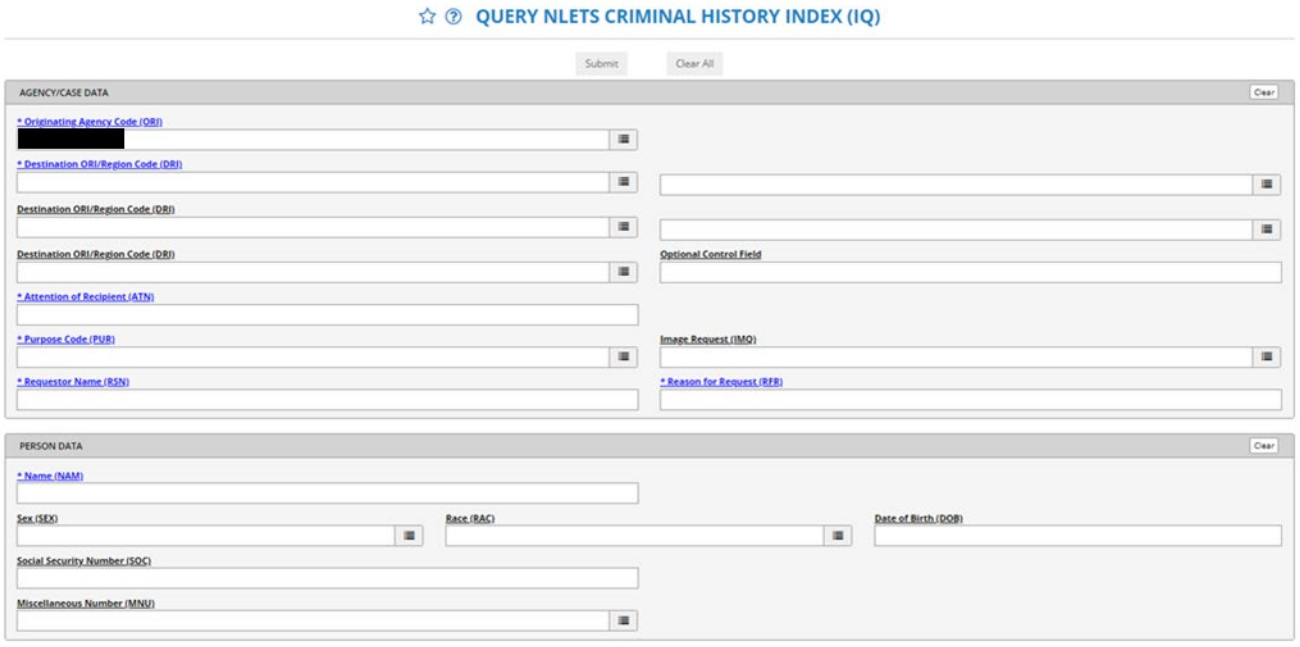
Part 3 - Conduct an Nlets State Criminal History Record Check (IQ/FQ)

Step 3.1 – Run an IQ - Identity Query

If a state search is needed, conduct an Nlets IQ/FQ, State Criminal History Record Check. Like the QH/QR, obtaining a State Criminal History is also a 2-step process. The IQ (Identity Query) is used to determine if an individual has a criminal history in a particular state, similar to a QH, but at the state level. The FQ (Full Record Query) will produce the complete detailed criminal history record, like the QR, but at the state level.



Select the destination(s) by state(s) and/or region from the drop down menu that best match the area you wish to search for the record. Complete the **Required Information** section and under **Additional Information** include the subject's **sex**, **Date of Birth** and **race**. (When searching for criminal history records in Nlets or III, if you use the name and date of birth, you must include sex and race.)

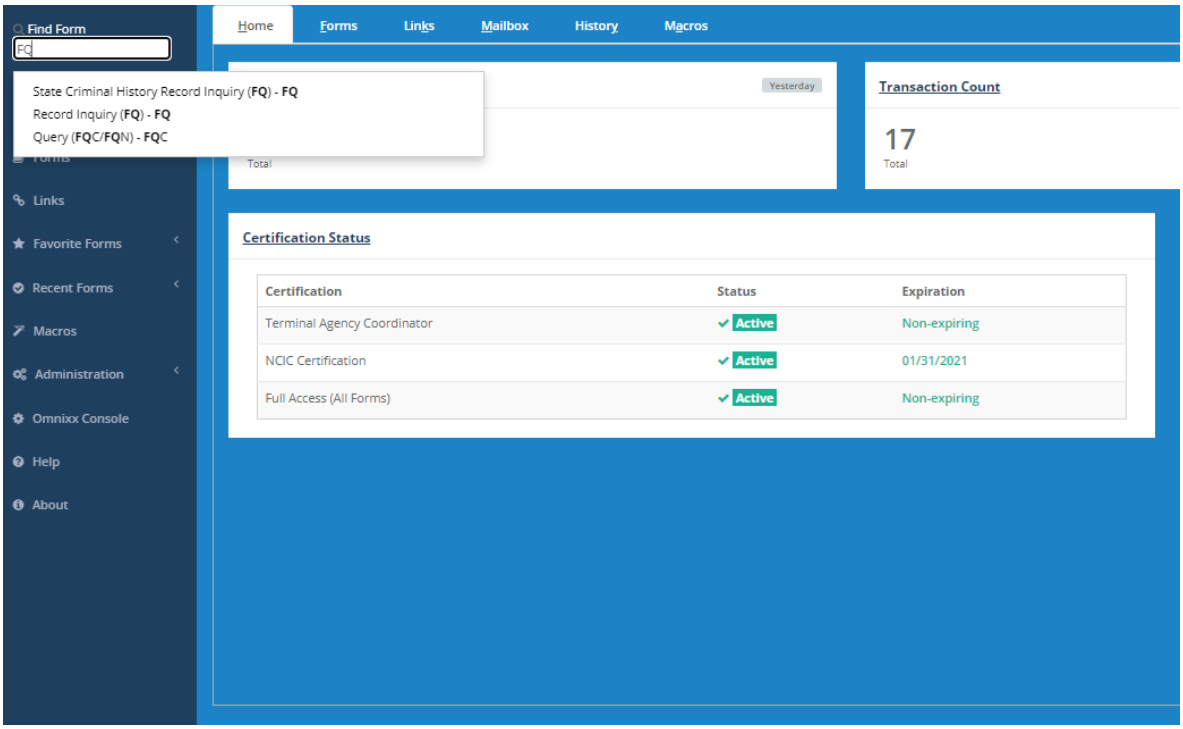


If the subject's record is held in the state's record repository, the response may look similar to this:

```
IR.KYSCHS000
14:28 12/03/2020 51411
14:28 12/03/2020 17438 DCDOJ0103
*MRI6394305
TXT
THIS RESPONSE IS BASED ON YOUR INQUIRY OF:
 NAM/[redacted]DOB/19700817 SEX/F RAC/W ATN/[redacted]PUR/C


POSSIBLE RECORD(S) WERE FOUND WITH KENTUCKY CRIMINAL HISTORY FILES
BASED ON SEARCH CRITERIA SHOWN

================================================================================
                          KENTUCKY CRIMINAL HISTORY
================================================================================
                               IDENTIFICATION

   SID NUMBER:        FBI NUMBER:            III STATUS:
   [redacted]         [redacted]             MULTI STATE OFFENDER
```

Step 3.2 Full Criminal History Query (FQ) Used to obtain an individual's state criminal history information.

From the Find Form search bar, enter **FQ, and select State Criminal History Record Inquiry** to open the full criminal history query transaction window.



Step 3.3 – Enter the destination state and complete the required information, to include pasting the SID into **State ID #**.

A. Select the appropriate state from the **Nlets Destination Code** field.
B. Enter the correct purpose code in the **Purpose** field.
   - Purpose Code C: Used by criminal justice agencies, civil courts, and child protective services for official duties in connection with the administration of criminal justice and/or investigations
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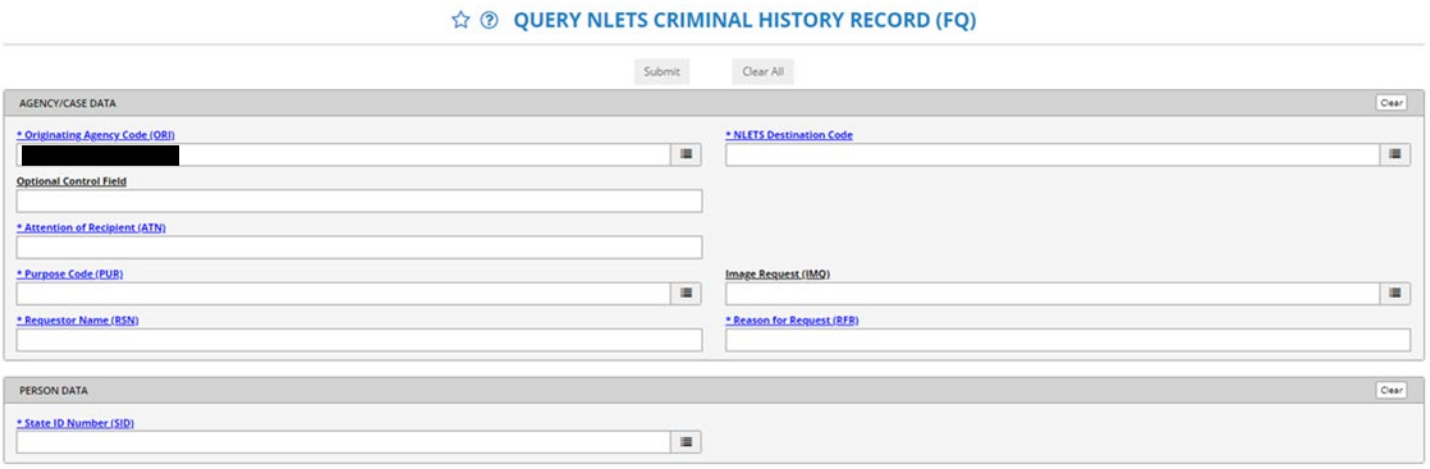
   - Purpose Code D: Used by civil courts in the investigation of domestic violence/stalking only
   - Purpose Code X: Used by BIA when child placement is necessary under exigent circumstances
C. Complete the **Attention** field with the name of the person who will receive the criminal history.
D. Complete the **Reason for Request** field. This field is a free form text box. Provide a specific reason you need the information. (e.g. Case number or specific record identifier, a description of the request such as pre-employment – Job Opening No., criminal investigation + Case Number)
E. Complete the **Requestor Name** field with the name of the person who is actually running the query.
F. Enter the State ID that was on the IQ.
G. Click **Submit**.



The response returned to you should be a Criminal History Record (RAP Sheet) which is a compilation of state arrests and dispositions linked to the subject's SID number.

For more information, email the Tribal Access Program: TribalAccess@usdoj.gov and include your Tribe's name in the subject line of your email message.