

# **DCIN/NCIC/NLETS**

## **CRIMINAL RECORD INQUIRIES**



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<b>Module 2 Title:</b>	<b>Criminal Record Inquiries</b>
Purpose:	To present an overview of the types of criminal records that are available to authorized users, how to access these records, and the laws, rules, and regulations regarding the use of these records.
Training Objectives:	<p>At the end of this instruction, Users will be able to achieve the following objectives:</p> <ol style="list-style-type: none"> <li>1. Identify the sources of criminal records available to authorized users to include SBI, FBI and Nlets (Canadian and Other State) records.</li> <li>2. Explain State/Federal rules and regulations regarding access and dissemination of these criminal records.</li> <li>3. Identify the three (3) DCIN operator responsibilities regarding accessing criminal records from SBI, FBI and Nlets sources.</li> <li>4. Given a scenario, identify the correct transaction and purpose code that would be used to process a criminal record request.</li> <li>5. Discuss and identify policies of the National Instant Check System (NICS) and transactions used for approved purposes for Disposition of Firearms.</li> <li>6. Be able to retrieve and print a monthly criminal record log as required by DCIN regulations.</li> <li>7. Identify the agency responsibilities regarding review and maintaining of the monthly criminal record log as required by DCIN regulations.</li> <li>8. Discuss the types of records available from the NC Administrative Office of the Courts (AOC) computer system.</li> <li>9. Identify at least three (3) investigative resources available for authorized users from the NC Department of Correction website.</li> </ol>
Hours:	Six (6)
Instructional Method:	Lecture—Discussion—Live Demo—Exercises

Training Materials:	Student Training Manual/Workbook Modern Web Browser High-Speed Internet Connection Computer Slide Projector Computer Slideshow Computer
Revised Date:	November 3, 2022; April 29, 2022
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Revised Date:	October 22, 2020
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Revised Date:	February 21, 2020; September 25, 2019
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Revised Date:	March 19, 2015; March 4, 2015
Revised By:	Rusty Barnett Criminal Information Training Specialist DCIN Training Unit SBI Criminal Information and Identification Section
Revised Date:	July 27, 2011
Revised By:	Rusty Barnett/Patricia Viverette Criminal Information Training Specialists DCIN Training Unit SBI Criminal Information and Identification Section
Revised Date:	January 29, 2010; May 29, 2009, March 27, 2009; October 7, 2008
Revised By:	Patricia Viverette Criminal Information Training Specialist DCIN Training Unit SBI Criminal Information and Identification Section

# I. SOURCES OF CRIMINAL RECORDS

## A. SBI Computerized Criminal/Investigative Records

1. NC Computerized Criminal History File (**CCH**)
  - a. Criminal records of individuals who have been arrested and the SBI has received and accepted a valid criminal fingerprint card; these records are identified with a NC SID Number ending with "A".
  - b. Historical misdemeanor fingerprint cards, which will provide the identification record only.
    - 1) An AOC inquiry must be performed to obtain the arrest and court data.
    - 2) These records are identified with a NC SID number ending with "H".
2. Juvenile Investigative Records
  - a. Juveniles who have been adjudicated delinquent and fingerprinted in accordance with [NCGS § 7B-2102](#).
  - b. Only juveniles who were 10 years old or older at the time they allegedly committed the offense that would be a Class A, B, C, D, or E felony if committed by an adult.
  - c. These records are identified with a NC SID Number ending with "J".
3. NC criminal/investigative records normally consist of three components that are merged together electronically by the SBI Criminal Information & Identification Section (CIIS).
  - a. **Arrest Data Segment** — records of an individual's arrest for a crime in which the individual was fingerprinted; created from fingerprint cards submitted by NC law enforcement agencies.
  - b. **Court Disposition Segment** — disposition status of the charge(s); supplied by NC Administrative Office of the Courts (AOC) after disposition by the courts.
  - c. **Custody Data Segment** — custodial/prison information; supplied by NC Department of Correction if the individual was convicted and received custody sentence.

**NOTE:** NC agencies may request the SBI **to change or modify** previously submitted **arrest fingerprint cards**.  
\*Complete the SBI [online request form](#) and email to [cchmodification@ncsbi.gov](mailto:cchmodification@ncsbi.gov) to correct NC SID information.\*

**B. NCIC Interstate Identification Index — III**

1. National name index for which the FBI has received and accepted a valid criminal fingerprint card.
2. **III includes:**
  - a. Criminal records of all persons born in 1956 or later with a FBI record.
  - b. Persons born prior to 1956 whose first arrest fingerprint card was submitted to the FBI on July 1, 1974 or later.
  - c. Numerous older records converted to the automated system since III was implemented.
3. Includes identification information with an automatic pointer to the state(s) or federal agency housing the computerized record.
4. The III “no record” response **does not mean** that there is absolutely no criminal history record on the individual. There may be records at the local or state level for which arrest fingerprint submissions are not on file with the FBI/III.
5. NC Historical and Juvenile Investigative records are not indexed in III.

**C. Other States/Canadian Criminal/Investigative Information**

1. Other State Repositories
  - a. Computerized files maintained at the state level only.
  - b. Criminal records of individuals who have been arrested and the other state/Canada accepted a valid criminal fingerprint card. Records are identified with a NC SID Number ending with “A”.
  - c. May include various types of records such as criminal, arrest, etc.
2. **Canadian Police Information Center — CPIC**
  - a. Name index and complete criminal history records for Canada.
  - b. Response(s) may be reviewed by CPIC before being returned to the requestor.
3. **Criminal History Record Information — CHRI**
  - a. Records from local agencies in other states and/or Canada
  - b. May or may not be documented by fingerprint cards.
  - c. CHRI may include other states’ court information and investigative case records.



## II. ACCESS & DISSEMINATION REQUIREMENTS for CCH/CHRI

### A. Access

1. Restricted to authorized law enforcement/criminal justice agencies. Limited access ORIs are not authorized to access SBI/NCIC/Nlets criminal records. Only NC AOC records may be accessed by limited access ORIs (see [Section VIII for AOC](#) record information).
2. **Need to Know** is access for the administration of criminal justice or criminal justice employment.
3. **Right to Know** (Right to Review Process) allows an individual to request a review of his/her computerized record.
  - a. Local agencies are not authorized for this reason.
  - b. Individual would need to contact the SBI Criminal Information & Identification Section and submit fingerprints to verify identity
  - c. Visit [www.ncsbi.gov/backgrounds](http://www.ncsbi.gov/backgrounds) for more details.
4. [Title 28 CFR Part 20.3](#) defines the **Administration of Criminal Justice** as the performance of any of the following activities involving accused persons or criminal offenders:
  - a. Detection
  - b. Apprehension
  - c. Detention
  - d. Pretrial Release
  - e. Post-Trial Release
  - f. Prosecution
  - g. Adjudication
  - h. Correctional Supervision
  - i. Rehabilitation

### B. Dissemination

1. The SBI stores an automated log of criminal/investigative inquiries.
2. Automated log will contain the information supplied by the operator in the inquiry transaction.
3. Secondary Dissemination is dissemination to any authorized person **outside** the initial requesting agency. This must be indicated in the inquiry screen (AT2) and in the case file pertaining to that record.
  - a. The AT2 field may also be utilized to indicate the purpose of the request if not being used for Secondary Dissemination. For

example, NCIC Entry, SOR File, Arrest or list the appropriate OCA Number.

**C. Terminal Operator's Responsibility**

1. Determine specific reason for request.
2. Choose appropriate transaction and purpose code for the given reason.
3. Indicate if a secondary dissemination will be made.

**NOTE:** *A certification message is displayed each time you sign into Omnixx Force. This is an electronic acknowledgement that **you, as an operator, understand and agree to abide by** all regulations that apply to DCIN and are subject to any penalties including but not limited to [14B NCAC 18C .0102](#).*

### **III. AUTHORIZED USES FOR NATIONAL/STATE RECORDS**

**A. Criminal Justice Information**

1. The [Privacy Act of 1974](#) requires the FBI to maintain an audit trail of the purpose of each disclosure of a criminal history record and the recipient of that record. Therefore, law enforcement agencies must have the ability to account for all criminal history inquiries.
2. Caution should be exercised when running criminal record inquiries.
3. State/National and NC Only Purpose Codes are not interchangeable.
4. Seek guidance when in doubt.

**B. Criminal Justice — Purpose Code C**

1. Requests for the administration of criminal justice such as criminal investigations, court, bond/probation hearings, etc.
2. Security of the Criminal Justice Facility
  - a. Vendors or contractors at the criminal justice facility who are **NOT involved** with the actual administration of criminal justice at the criminal justice agency.
    - 1) Carpet cleaners, individuals responsible for maintaining vending machines, custodial or maintenance workers.
    - 2) Private wrecker operators who recover automobiles impounded as evidence.

- b. Volunteers at the criminal justice facility who are **NOT involved** with the administration of criminal justice at the criminal justice agency.
    - 1) Participants in community ride-along programs.
    - 2) Volunteers at a confinement facility who provide social or community services rather than rehabilitative services.
  - c. Confinement facility visitors.
- 3. Inmates of a confinement facility for proper inmate classification.
- 4. Security of a military installation – authorizes a military criminal justice agency (military police) to utilize Purpose Code C in screening of visitors and contractors being admitted into their installation.
- 5. Defendants, co-defendants, jurors, witnesses, experts, etc. — but only for prosecutorial purposes in a criminal court, a court of general jurisdiction, or an appellate court.
- 6. Juvenile investigative records **are not** criminal history records and are for criminal justice investigative uses **only**. Juvenile investigative records will only be provided when Purpose Code C is used.
- 7. Governmental Social Service agencies with child protection responsibilities and the National Center for Missing and Exploited Children may receive FBI criminal history record information under **Section 151** of the Adam Walsh Child Protection and Safety Act of 2006 ([Public Law 109-248](#)).
  - a. NCIC Originating Agency (ORI) ending in the alpha character “**F**” has been established for Section 151 access.
  - b. Purpose **Code C** is the only code allowed for DSS agencies and can **only be used** when investigating or responding to allegations of abuse, neglect, or exploitation of a minor.
  - c. To access CCH/CHRI information, each DSS office with an active ORI must utilize and maintain the Criminal History Request Form to document authorized access for the search being requested from the processing agency.
    - 1) Servicing Agency performs a Query ORI (QO) to ensure DSS ORI is active prior to processing request.
    - 2) See [example of DSS Request](#) from Forms Section in Table of Contents.
    - 3) For all queries, retain operator’s ORI. Do not change ORI to DSS agency per the NC Administrative Rule. — [14B NCAC 18A .0302\(a\)\(9\)](#)

**NOTE:** Child placement is **NOT allowed**. Servicing agency **MUST** maintain all documentation & monthly logs for all secondary dissemination to DSS.

**C. Criminal Justice Employment — Purpose Code J**

1. Background investigations of the criminal justice agency personnel.
  - a. Includes sworn officers, communications, and records personnel, etc.
  - b. Includes “friends, relatives, and associates” of the employee or applicant who is subject to the background investigation.
  - c. Review [14B NCAC 18B .0403](#) for more details.
2. Vendors or contractors at the criminal justice agency who **ARE involved** with the actual administration of criminal justice at the criminal justice agency.
  - a. Personnel involved with maintenance of computer systems, upgrading record systems, etc.
  - b. [CJIS Security Policy](#) requires fingerprint-based backgrounding for all personnel who are responsible for configuring and maintaining computer systems and networks with access to the FBI CJIS network.
3. Volunteers at the criminal justice agency who **ARE involved** with the actual administration of criminal justice at the criminal justice agency.
  - a. Volunteer dispatchers, data entry clerks, reserve officers, and interns, etc.
  - b. Volunteers at a confinement facility who are providing inmate rehabilitation.
4. Criminal history inquiries **CANNOT** be made (using any purpose code) for BLET sponsorship unless the individual is employed by or has applied for employment for an open position at the inquiring agency.
5. Agency also **CANNOT** run AOC or DMV inquiries for BLET sponsorship.

**D. Domestic Violence and Stalking — Purpose Code D**

1. Requests only by civil and criminal courts for use in domestic violence and stalking **court cases** (for use by magistrates and judges).
2. Civil courts are authorized to access criminal history files for this purpose only.

3. Law enforcement officers conducting routine investigations for domestic violence and stalking cases should use Purpose Code C.

#### **E. Check on Pawn Shop Firearms — Purpose Code F**

1. Background checks are permitted on persons who have pawned firearms to determine if the owner of the pawned firearm is wanted for a crime or is a felon possessing a firearm.
  - a. With few exceptions, Purpose Code **F is restricted** to check ownership of firearms among **pawn shop** items.
2. Agencies may receive copies of pawn slips directly from pawn shops or from online services such as [www.leadsonline.com](http://www.leadsonline.com) among similar resources for critical investigations.
  - a. Agencies may run NCIC queries on pawn shop information to determine whether property was stolen.
  - b. Best practice for transactions QH/QR, use optional AT2 field: enter name of pawn shop and owner to qualify background check under restricted use of code F.
3. **Do NOT use code F** for the return of firearms to owners when in possession of law enforcement agency. See [Section VI for NICS access on the Disposition of Firearms](#) with QDOF transaction.

#### **F. Public Housing Authority — Purpose Code H**

1. Requests by authorized Public Housing Authority (PHA) assigned an active ORI.
  - a. Servicing Agency performs QO to determine PHA ORI is active prior to processing request.
2. Only authorized use is for background checks on adult applicants for (or tenants of) public housing for purposes of applicant screening, lease enforcement, and eviction.
3. For all queries, retain operator's ORI. Do not change ORI to PHA agency per [14B NCAC 18A .0302\(a\)\(9\)](#).
4. Public Housing Authority (PHA) **may not receive** a copy of the QH response. They shall only be advised if a possible record exists or no record exists.

**NOTE: QR is not allowed for Purpose Code H.**

5. Public Housing Authority must submit fingerprint cards to the FBI to obtain the criminal record.
6. The SBI has developed a recommended request form to be used for Public Housing Authority requests. See [PHA Form Instructions](#) which clearly identify required procedures the PHA must follow. See also [example of PHA Request for Access to DCIN/NCIC](#) from Forms Section in Table of Contents.

**G. Transactions for National & State Criminal/Investigative Records**

1. National and state criminal/investigative name inquiry — **QH**
  - a. Name and numeric identifier(s) (DOB, SOC, etc.) must be used.
  - b. Provides identification record with FBI and/or SID.
  - c. Performs Wanted/Missing Person search which includes a search of the following NCIC files: Wanted Persons, Missing Persons, Violent Persons, Foreign Fugitive, Protective Interest\*, Immigration Violators\*, Gang\*, Threat Screening Center File\*, Protection Orders, Sex Offenders\*, Supervised Release\*, and Identity Theft\*.
  - d. Performs search of NC Concealed Handgun Permits\*, NC Sex Offender Registration\* files and NC DOC Records\*.

**NOTE:** Responses from files with an **asterisk\*** may **only be given** to criminal justice agencies.

2. **National and state criminal/investigative record inquiry — QR**
  - a. Name and either FBI or SID must be used.
  - b. Provides complete computerized criminal history record.
  - c. Cannot be performed for a public housing authority — Purpose Code H.

**NOTE:** For all queries, retain operator's ORI. **Do not change ORI** to another agency's ORI per [14B NCAC 18A .0302\(a\)\(9\)](#).

3. **Responses include:**
  - a. National (III) records
  - b. State (SBI CCH) records (including NC juvenile investigative records if Purpose Code C is used)
  - c. Nlets criminal record responses
4. **NC Only Name Index Search — ZID**
  - a. Query on alias or street name.
  - b. Response includes valid criminal fingerprint card from SBI state repository.

- c. Listing of NC criminal/investigative records to provide investigative leads.
- d. For criminal justice use only

## **IV. NON-CRIMINAL JUSTICE REQUESTS — AUTHORIZED USES & TRANSACTIONS FOR NC ONLY RECORDS**

### **A. Defense/Private Attorneys — Purpose Code PA**

1. Defense Attorneys have access to NC records **only** if the following criteria are met:
  - a. Request is for a defendant represented in a criminal or infraction court case. **(NO civil court cases)**
  - b. Defense Attorney Access Form has been completed and signed by the requesting attorney.
  - c. The Defense Attorney Access Form must be notarized.
  - d. For more details, review [14B NCAC 18B .0409](#).
  - e. See [example of Defense Attorney Access](#) from Forms Section in Table of Contents.
2. Agency performing inquiry should maintain Defense Attorney Access Form on file for one year.
3. Defense Attorneys **may not receive** any spin-offs.

### **B. Guardian Ad Litem — Purpose Code GA**

1. A [Guardian Ad Litem](#) is an individual appointed by the court to take charge of child being represented in court for an abuse or neglect case.
2. A Guardian Ad Litem may be an approved community volunteer, a DSS worker, private attorney, or court program employee.
3. The Guardian Ad Litem must present a copy of the court order stating his/her appointment.
4. A copy of the court order must be maintained on file for one year by the agency performing inquiry.

**C. Licensing/Non-Criminal Justice Employment — Purpose Code E##  
— E + numeric code**

1. Background checks on applicants/employees for non-criminal justice employment such as taxi permits, precious metal dealer permits, fire departments, city, or county government, etc.
  - a. For example, taxi permit is Purpose Code E 06.
2. Access authorized **only** for those agencies that have written approval from SBI with Access Agreements on file.
3. Access Agreements by local agencies to the SBI must be based on a state statute or local ordinance which gives authority to deny license or employment based on a criminal record.
4. Purpose Code E plus a numeric code must be activated by the SBI for an authorized agency **prior** to transmission .
  - a. Without Access Agreement, transaction will be REJECTED.
  - b. Unauthorized transaction will show on monthly CCH log and Error Report must be sent to SBI Compliance Unit.
5. If criminal record received, agency should submit fingerprint card to the SBI for verification before denying the license or deciding non-criminal justice employment.

**D. Transactions for NC Only \*Non-Criminal Justice\* Requests**

1. NC only \*Non-CJ\* Name Query — **QHNC**
  - a. Name and numeric identifier(s) (DOB, SOC, etc.) must be used.
  - b. Provides NC identification record with FBI and/or SID.
  - c. Performs Wanted/Missing Person search which includes a search of the following files: Wanted Persons, Missing Persons, Violent Persons, Foreign Fugitive, Protective Interest\*, Immigration Violators\*, Gang\*, Threat Screening Center File\*, Protection Orders, Sex Offenders\*, Supervised Release\*, and Identity Theft\*.
  - d. Performs search of NC Concealed Handgun Permits\*, NC Sex Offender Registration\* files and NC DOC Records\*.
  - e. Responses from files with an asterisk\* may only be given to criminal justice agencies.
2. NC Only \*Non-CJ\* Record Query — **QRNC**
  - a. Name and either FBI or SID must be used.
  - b. Provides complete state (SBI CCH) record.

**NOTE:** *For all queries, retain operator's ORI. **Do not change ORI** to another agency's ORI per [14B NCAC 18A .0302\(a\)\(9\)](#).*



## **V. NLETS TRANSACTIONS FOR CRIMINAL/INVESTIGATIVE INFORMATION**

### **A. Other State Repositories for Criminal Records Inquiries**

1. Transactions should be used when additional information is desired and/or there is no III/CCH or NICS record.
2. Other State Computer Criminal Name Inquiry — **IQ**
  - a. Name and numerical identifier(s) (DOB, SOC, etc.) are used to obtain identification record with SID.
  - b. Up to 5 states can be queried at a time.
3. Other State Computer Criminal Record Inquiry — **FQ**
  - a. SID used to obtain full record.
  - b. Only one state at a time can be queried for the full state record.
4. Authorized purpose codes are determined by each state.
5. Visit [wiki.nlets.org](http://wiki.nlets.org) for more details on these transactions.

### **B. Canadian CCH Inquiries**

1. Canadian Criminal Name Inquiry — **CIQ**
  - a. Name and numeric identifier(s) (DOB, SOC, etc.) used to obtain identification record with FPS Number.
2. Canadian Criminal Record Inquiry — **CFQ**
  - a. FPS Number used to obtain full record from CPIC.
  - b. Response is reviewed by CPIC prior to disseminating out of country, which may delay your response.
3. Authorized purpose codes are determined by CPIC.

### **C. Other State/Canadian Local Records Transactions**

1. Requests for CHRI or additional information such as photographs, court dispositions, fingerprint cards, or local records from an individual agency in another state and/or Canada.
2. Other State/Canadian Request Local Record query — **AQ**
3. Other State/Canadian Response Local Record query — **AR**
4. Authorized purpose codes are determined by each state.
5. Visit [wiki.nlets.org](http://wiki.nlets.org) for more details on these transactions.

#### **D. Other State Parole, Probation, and Correction Inquiries**

1. Transactions access information from the Department of Corrections in other states which participate. Currently five states support these transactions:
  - a. Alaska, Florida, Iowa, Montana, and Nevada.
  - b. Nlets will REJECT if a state does not support the file query.
  - c. Use transaction Query Corrections — **CPQ**
    - 1) To request a correction's photo from other states.
    - 2) To access NC DOC files and request photo.
2. Other State Parole, Probation and Corrections Query — **PAQ**
3. Other State Corrections by Name or Number Query — **PCQ**
4. Other State Parole Record Only Query — **PPQ**
5. Other State Probation Record Only Query — **PBQ**
6. Authorized purpose codes are determined by each state. Some states treat this type of information as Criminal History. Some states may not be able to respond to some or all these inquiries.
  - a. Visit [wiki.nlets.org](http://wiki.nlets.org) for more details on these transactions.
  - b. To review participating states, see Omnixx LINKS—Nlets Info—Help Files (AM)

#### **E. Immigration & Customs Enforcement (ICE) Records — IAQ**

1. The transaction [Immigration Alien Query](#) sent to the Department of Homeland Security's ICE databases is searched by the [Law Enforcement Support Center](#) (LESC) for these purposes:
  - a. Obtain information on aliens suspected of criminal activity.
  - b. Status information of aliens under arrest.
2. **Uses**
  - a. Purpose Code C — Criminal investigative purposes
  - b. Purpose Code F — Background investigations on applicants who are not US citizens for Permits to Purchase handguns.
  - c. Identification and background data for correctional agencies
  - d. To notify ICE of a subject's incarceration or placement on probation.
3. **Access**
  - a. Only agencies authorized to request criminal record information via Nlets have access to the LESC.
  - b. Limited access ORIs do not have access to LESC inquiries.

#### 4. **Search**

- a. Use all information known, in addition to mandatory fields. Perform inquiries such as criminal records & DMV to obtain additional identifiers **prior** to IAQ transmission.
- b. LESC staff search 10 DHS/ICE databases, NCIC Wanted Persons, and III.

#### 5. **Response**

- a. LESC operates a communications center that provides law enforcement hit confirmations within 10 minutes, 24 hours a day.
- b. Computer generated acknowledgment will be sent within seconds of receipt by the LESC indicating the request has been received and is being processed.
- c. LESC may send copies of their responses to the ICE office with jurisdiction over the agency that made the inquiry.
- d. Inquiries/responses are not required to be logged and will not be added to the automated criminal record log.

#### **F. Nlets Criminal/Investigative Help Files – HL**

1. [Nlets Help Files](#) have been established for each application that will provide details regarding access, availability, etc.
  - a. See Omnixx LINKS—Nlets Info—Help Files (AM).

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## **VI. NATIONAL INSTANT CRIMINAL BACKGROUND CHECK SYSTEM – NICS**

### **A. NICS Authorized Use & Purpose Identification Numbers (Pur ID)**

1. NICS is a national computer system implemented and maintained by the FBI to obtain information on individuals who may be prohibited from receiving or possessing a firearm under federal law.
2. Access to NICS Indices is restricted to personnel certified in:
  - a. **Module 2**—Criminal Record Inquiries for the purpose to complete the Disposition of Firearms process (return of weapons to the owner or prospective transferee).
    - 1) Certified users may access NICS **ONLY** from an authorized ORI at their agency for the Disposition of Firearms.
  - b. **Module 4**—Handgun Permits for the purpose to provide information to federal, state, or local criminal justice agencies regarding the issuance of a permit or license to possess, acquire, conceal, or transfer a firearm.

- c. The use of NICS for any other purpose is strictly **prohibited**. Misuse may result in administrative sanctions, suspension, or termination of NICS access, fines up to \$10,000, and/or criminal charges being filed by the FBI.
3. **Prior to returning** a firearm back to the owner or prospective transferee, a background check **must be performed** to ensure the individual is legally entitled to receive or possess the firearm.
4. A detailed ***Disposition of Firearms User Guide*** is available in Omnixx LINKS—NICS Info—Disposition of Firearms User Guide.
5. **NICS Purpose IDs** for returning firearms to owners:
  - a. **Return of a Handgun** — Purpose ID Code **22**  
Handgun is a firearm such as a revolver or pistol designed to be held and fired with one hand.
  - b. **Return of a Long Gun** — Purpose ID Code **23**  
Long gun is a shoulder weapon such as a rifle or shotgun with a barrel length of at least 16 inches.
  - c. **Return of Other** — Purpose ID Code **24**  
For example, a frame or receiver from a firearm.

**NOTE:** ***What code to use for the return of multiple weapons?***  
*Choose the code corresponding to the most type of weapons.*  
***IF*** *an agency has 2 Long Guns and 3 Handguns,*  
*choose handguns — Purpose ID 22.*  
***IF*** *an agency has an equal number of long guns and handguns,*  
*choose handguns — Purpose ID 22.*

- d. Nlets Supplemental Background Checks  
Only if necessary to further identify information **after** review of the QDOF response, Nlets inquiries IQ, FQ, CIQ, and AQ may use Purpose Code F **to supplement** the QDOF.

## **B. Agency Access to NICS for Disposition (Return) of Firearms**

1. Only an authorized ORI(s) is allowed to access NICS inquiries for the disposition of firearms per FBI NICS regulations.
2. Each agency **must** identify a specific ORI or ORIs to use NICS transactions.
  - a. To activate or remove ORIs for NICS authorization, agencies must follow these steps:

- 1) Complete the [NICS QDOF ORI Request](#) available in Omnixx LINKS—NICS Info.
- 2) Once approved, you will receive an email that the request has been processed.
- 3) **TACs may submit changes at any time.** If you have any questions, contact your district DCIN Training Specialist.

**C. Query NICS Records Disposition of Firearms – QDOF**

1. Transaction QDOF is used by all law enforcement and criminal justice agencies to conduct background checks for the purpose of returning firearms in their possession to the owner or prospective transferee.
2. See NICS [User Guide for the Disposition of Firearms–DOF](#) with step-by-step illustrations which is found under Omnixx Links—NICS Info.
3. Each agency must verify the descriptive information provided by the potential transferee with a government-issued photo identification.
4. Required fields are OCA, PUR ID, ATN, OPR, NAM, RAC, SEX, DOB, SOR (State of Residence), CTZ (Citizenship), and COC (Country of Citizenship).
5. Optional fields, such as HGT, WGT, POB, SOC or MNU should be used when available. If SOC is used, then MNU must be blank.
6. If Citizenship (CTZ) is a Non-US Citizen (Code F), then Country of Citizenship (COC), Place of Birth (POB), and Miscellaneous Number (MNU) are required.
7. If Citizenship is Non-US Citizen (Code F), complete the **mandatory** [Supplemental Questions for Non-US Citizens](#) available in Omnixx LINKS—NICS Info. See [example](#) from Forms Section in Table of Contents.
8. For all Non-US Citizens (Code F), an automatic spin-off of an Immigration Alien Query (IAQ) transaction will be sent to Immigration and Customs Law Enforcement Support Center (ICE/LESC) as required by NICS and the US Attorney General.
9. When the QDOF transaction has been transmitted, **regardless of Citizenship**, an automatic spin-off of a Query AOC for Criminal Defendant Name (QACD) transaction will be sent to the NC Administrative Office of the Courts (AOC) database as required by

State law ([NCGS § 14-402](#)). This could retrieve local records which may not be indexed in NCIC III files.

- a. AOC will move **all** services from its in-house, NCAOC-built systems to a vendor-provided, cloud-based management system called [Odyssey](#).
- b. AOC will roll-out Odyssey by county groups in Fall 2022. Once a county is transitioned to Odyssey, QDOF will **not** spin-off a QACD for that county.
- c. To ensure a thorough check prior to return of firearms, such counties would query Odyssey and/or [CJLEADS](#).
- d. Agencies will be notified by both AOC and DCIN about the progress of the county roll-out.

**D. QDOF response** may be from one of the following:

1. **NICS Indices** – This file contains the name and personal data on individuals who are federally and state prohibited from purchasing and possessing a firearm.
2. **NICS Indices Illegal/Unlawful Aliens File** – This file contains information provided by the Immigration and Customs Enforcement (ICE) on illegal or unlawful aliens.
3. **NICS Indices Controlled Substance Abuse File** – This file contains information provided by the US Coast Guard, Department of Defense, Department of Veteran’s Affairs, and some participating states on persons who are an unlawful user of –or addicted to– any controlled substance. This file may include records on persons who failed drug tests and/or are participating in a drug treatment program.
4. **NICS Indices Dishonorable Discharges File** – This file contains information provided by the US Coast Guard and Department of Defense on persons who have received a dishonorable discharge (DD) from the Armed Forces.
5. **NICS Indices Citizenship Renunciants File** – This file contains information from the Department of State on persons who have renounced his/her United States citizenship.
6. **NICS Indices Mental Defectives/Commitments** – This file contains information from the Department of Defense, Department of Veteran’s Affairs, and some participating states on persons who have been adjudicated as a mental defective or have been committed to a mental institution.

7. **NCIC Persons Files**
  - a. Wanted Persons File
  - b. Active Protection Orders File
  - c. Immigration Violators File
  - d. Gang File
    - 1) When a positive hit is received from the NCIC Gang Member File, directly contact the ORI of the record entry to ask if they are aware of or possess any information that would prohibit the transfer of a firearm or issuance of a firearm related permit under State and federal law.
    - 2) [Guidance for NCIC Gang File Hit](#) can be found under Omnixx Links—NICS Info.
  - e. Threat Screening Center File
  - f. Violent Person File
  - g. Protective Interest File
  - h. Foreign Fugitives File
  - i. Sex Offender Registration File
  - j. Supervised Release File
  - k. Identity Theft File
  - l. SENTRY (individuals under supervision of Federal Bureau of Prisons)
8. **Interstate Identification Index (III)** – This file contains automated criminal record indexes of individuals who have been arrested and a valid FBI fingerprint card has been submitted and accepted.
9. **N-DEx — National Data Exchange System** – Provides local, state, tribal, and federal criminal justice agencies with a mechanism to nationally share, search, link, and analyze information across jurisdictional boundaries.
10. **NC SBI Computerized Criminal History (CCH)** – This file contains automated criminal records of individuals who have been arrested and a valid SBI fingerprint card has been submitted and accepted.
11. **NC Persons Files**
  - a. NC Concealed Handgun Permit
  - b. NC Sex Offender Registration
  - c. NC DOC Records
  - d. NC Administrative Office of the Courts (AOC)
    - 1) Due to AOC's transition to [Odyssey](#) beginning in Fall 2022, any county agency **moved** to Odyssey **will not** receive an

AOC response to the QDOF. No DCIN transaction will be possible for Odyssey-based counties.

#### **E. NICS Responses & Additional Transactions**

1. The response from NICS will include **a NICS Transaction Number (NTN)**. The NTN must be used in any subsequent transactions (record retrieval, denial notification, etc.). Both the NTN and the OCA will be utilized for auditing purposes by NICS. The identifiers should be maintained with the agency's case file. Both identifiers will be displayed on the automated NICS Log.
2. If a NICS Indices match is found based on the inquiry, NICS will respond back with descriptive identifiers (similar to a National Name – QH– transaction response). Each matching NICS Indices record will contain a **NICS Record Identifier (NRI)**, which is similar to a NIC. The NRI must be used to retrieve that specific record.
3. **SCENARIO:** The court is requesting a NCIC III background check on the defendant to assist in a decision on whether the defendant can have his/her firearm. This motion is directly related to a domestic violence court case. When the motion to release a weapon back to the owner comes from the Court, the background check should be performed utilizing the **QDOF** transaction.
  - a. In order for the Courts to have access to the NICS database, the Court is required **either** to obtain an authorized ORI **OR** to submit the request to a law enforcement agency who already has an authorized ORI.
  - b. When the request comes from the Court for any other reason, a background check would utilize Purpose Code D for transactions QH/QR for National + NC Name records.
  - c. For example, always use Purpose Code D for a stalking case or a domestic violence court case where no weapon is being returned.
4. When it is time to release the weapon, the law enforcement agency which has the firearm in their possession should perform a QDOF transaction prior to returning the firearm to the owner. This duplicate check may seem unnecessary. However, the agency releasing the firearm should always ensure both federal and State laws are met.
5. **NICS Record Inquiry – QNR**
  - a. This transaction is used to obtain a specific record maintained in NICS, NCIC, or DCIN files after a positive hit is received from any NICS Indices or other files searched from the QDOF transaction.



- b. **Must use** NAM, DOB, NTN (NICS Transaction Number), **and** one of the following identifiers: FBI or NIC or NRI or SID.
- c. Responses will vary, depending on the numeric identifier used in the record inquiry.
- d. Using FBI, the complete NCIC/III record will be returned, along with any related out-of-state CCH records. NC/CCH records will also be checked.
- e. Using NIC, the specified NCIC record will be returned.
- f. Using NRI, the specified NICS Index record will be returned.
- g. Using SID, only a NC SID may be used. Using NC SID, the NC/CCH will be returned. NC SID can be used to retrieve NC/CCH records that may not be indexed in NCIC/III.

#### 6. **NICS Denial Notification Act of 2022**

Beginning October 1, 2022, FBI NICS will notify an agency when a Federal Firearms License (FFL) individual/company denies the purchase/transfer of a handgun to a person who resides in the agency's jurisdiction **or** attempted to buy a handgun within the agency's jurisdiction.

- a. Within 24 hours of the FFL denial, a NICS notice would be sent as an NCIC \$.H. NDN unsolicited message.
- b. The notice will include a NICS Transaction Number (NTN) for potential investigation to query the specific NICS record (QNR).
- c. See [example of a Denial Notification](#) from Forms Section in Table of Contents.
- d. The notification is an important flag to agencies for officer safety and public safety.
- e. There is no legislative requirement for any action by the receiving agency.

#### 7. **Enter State Denial Notification — NDN**

- a. If the individual is prohibited from receiving or possessing a firearm due to state or federal prohibitor(s), the NICS Section **should be notified of the denied transfer**. Use the Enter State Denial Notification (NDN) transaction.
  - 1) Enter the NDN as soon as possible once the decision to deny is made to benefit officer safety and public safety nationwide.
  - 2) The NDN can be sent up to 88 days from the day of NICS query transaction (QDOF). Every query is assigned a transaction number (NTN) which is valid for a limited time. The NTN is **mandatory** for NDN submission.

- 3) After 88 days, the NTN will expire. This would result in a REJECT of any later-entered NDN transaction.
- 4) NDN can be entered after the 89<sup>th</sup> day or later: run a new QDOF with original purpose ID (22-23-24) to obtain a new NTN.
  - a) **You must document the reason** for the “second QDOF” on the same person and maintain the document to ensure this is not a misuse of NICS at time of audit.
  - b. NICS will flag the record as a denial transfer and retains all transactions relating to the denial for 120 years (lifetime).
  - c. If the NDN transaction is not received for a Query NICS Disposition of Firearms (QDOF), **NICS assumes** that the QDOF resulted in the transfer. The transaction is purged from the system log according to NICS purge criteria.
  - d. More NDN information is available in Omnixx Links—Newsletters, 2017, [NICS Denied Transaction File Notifications](#).

#### 8. **State Denial Overturned Message – NDO**

- a. This transaction allows the agency that entered the denial on an individual to indicate the denial has been overturned.
- b. If an individual appeals a denial, and the denial is overturned, the agency that entered the denial **must perform** the NDO transaction to indicate the individual may now be eligible for transfer of a firearm.
- c. NDO transaction is also used if a record was entered incorrectly.
- d. There is **NO MODIFY** option in NDO transactions.
  - 1) If denial had incorrect information, **perform NDO to remove record**. Then re-enter **NDN** transaction using the same NTN from earlier response to enter correct information
  - 2) If the denial should never have been entered, the entering agency would perform the **NDO** transaction to remove the record.

9. If the individual challenges the accuracy of the record for which the decision was made to deny the possession or transfer of the firearm, they should be directed to contact the agency that entered the record. This could be a criminal justice agency or NICS.
  - a. Provide the [Voluntary Appeal File](#) brochure available in Omnixx LINKS—NICS Info—VAF Brochure when appropriate.

## VII. DCIN CRIMINAL HISTORY INQUIRIES LOG

### A. Inquiry — QCHL

1. Used to comply with NCIC-DCIN-NICS rules regarding access and dissemination.
2. Log is created automatically as inquiries are performed.
3. Log must be obtained for each Omnixx in-house device. If no CCH inquiries were run on a specific in-house device, a log must still be maintained.
4. Requested month (RMO) and year (QYR) are used to obtain the monthly summary log.
5. Beginning and Ending Date/Time (BDT/EDT) may be used to obtain the current month's data.
6. A monthly summary log is available on the first day of the following month.
7. Logs are available only for the previous eighteen months.

### B. Response

1. Provides a list of all criminal/investigative inquiries made at a specific terminal, including rejected transactions.
2. Responses also include the National Instant Check System (NICS) inquiries log if there were NICS inquiries conducted on that specific device in the month to be reviewed.
  - a. Included are Disposition of Firearms (QDOF) transactions.
3. If there were no NICS inquiries performed, the NICS log will not be returned in the response.

**NOTE:** While in review of log, ensure the **operator's ORI was NOT changed** to another agency's ORI per [14B NCAC 18A .0302\(a\)\(9\)](#).

### C. Agency's Responsibilities

1. Conduct an audit once every month for the previous month's automated logs. Both logs must be reviewed **within fifteen (15)**

**business days** from the end of the month being reviewed **and** signed by agency head or designee to determine compliance.

2. All CCH & NICS logs must be maintained electronically **or** printed on file for one (1) year from date of inquiry for each in-house device.
3. Documentation must be kept on file for each inquiry made into CCH and NICS and is subject to audit. The SBI and FBI will require this documentation during audits.
4. Any errors, misuse, or possible violations **must be reported** to the SBI Compliance Unit **within twenty (20) business days** of the end of the month being reviewed. Use the [Error Reporting Form](#) available in Omnixx LINKS—Compliance—Error Reporting Form.

## **VIII. NC ADMINISTRATIVE OFFICE OF THE COURTS (AOC) RECORDS**

### **A. NC Criminal Court Records**

1. DCIN has access to automated NC Criminal Court files.
  - a. Felony, misdemeanor, traffic, and some infraction charges.
  - b. Does not provide access to civil files.
2. Each county Clerk of Court enters criminal process papers once served and tracks the record through the complete judicial process.
3. All AOC records are not documented by fingerprint cards.
4. **Unserved Criminal Warrants**
  - a. Case status will be unserved until served or disposed.
  - b. AOC manages [eWarrants](#) which is a statewide database to enable law enforcement to review and serve NC-issued warrants daily.
5. AOC response that indicates an unserved warrant is not probable cause to arrest an individual. Agencies receiving a hit on an unserved warrant should use the hit only as a pointer to contact appropriate officials.

6. **2022 Roll-Out of Odyssey for AOC records**

- a. AOC will move **all** services from its in-house, NCAOC-built systems to a vendor-provided, cloud-based management system called **Odyssey**.
- b. AOC will roll-out Odyssey by county groups in Fall 2022. Once a county is transitioned to Odyssey, no DCIN transactions will be possible for that county nor will DCIN responses include that county's information.
- c. Agencies will be notified by both AOC and DCIN about the progress of the county roll-out.

**B. Access, Use, and Dissemination of AOC Records**

1. Access is granted to all agencies with DCIN access including limited access ORIs.
2. Use of these records is restricted to law enforcement/criminal justice purposes and should be regulated by departmental policy.
3. Authorized purposes include criminal investigations, criminal court, defendant/witness court schedules, etc.
4. DCIN does NOT require a log of dissemination be maintained on AOC information.

**C. DCIN Transactions for AOC Records**

1. Criminal Defendant Name Inquiry — **QACD**
  - a. Name is **ONLY** mandatory field.
    - 1) Optional fields used may qualify/reduce the number of responses.
    - 2) Response may be very large.
  - b. **Name Depth** (01-09)
    - 1) May use to broaden the soundex search on the name.
    - 2) If left blank, the default is 01 which is minimal search.
  - c. **Archive Field**
    - 1) May request active records only, archive records only, or both active and archive records.
    - 2) If both active and archive records are requested, the majority of records returned will be active
  - d. **Year Range** (1-9)
    - 1) May be used to search plus/minus number of years on DOB or AGE.

- e. **Case Status**
    - 1) May request specific status:
    - 2) **P** — Pending cases only
    - 3) **D** — Disposed cases only
    - 4) If left blank, both will be searched.
  - f. **Court County/Level**
    - 1) Statewide search if left blank.
    - 2) County search if County Code used.
    - 3) Level option may be used with County Code to search surrounding counties.
  - g. **Charged/Convicted Offense Type**
    - 1) May use specific type(s):
      - a) **F** — Felonies
      - b) **M** — Misdemeanors
      - c) **T** — Traffic
      - d) **I** — Infractions
    - 2) If left blank, all types will be searched.
  - h. **Offense Status**
    - 1) May use to request a specific offense status.
    - 2) If left blank, all status types will be searched,
2. **Response will be summary of record(s)**
- a. Name(s) of defendant(s) with some personal and arrest identifiers.
  - b. Court Docket Number (case file) identifies each case and must be used with the Court County to obtain the detail court record.
  - c. Status of records is UNSERVED, PENDING, or DISPOSED.
  - d. QACD is not possible for any Odyssey-based county due to AOC's county transition to [Odyssey](#).
3. **Criminal Court Record — QACR**
- a. Criminal court record for a specific warrant or case
  - b. Requires Court County Code and Court Docket Number.
  - c. Response will be detailed court record which may include defendant's name, address, other personal identifiers, arrest information, trial date, attorney's name, witnesses' names, offense charges, and status of case.
  - d. QACR is not possible for any Odyssey-based county due to AOC's county transition to [Odyssey](#).

4. **Criminal Defendant Individual Record – QACI**
- a. Court Docket Numbers associated with one individual's arrest(s) where fingerprints were submitted and compared.
  - b. Query by fingerprint Check Digit Number, SID Number, or Local ID Number (LID).
  - c. Response will be summary of record(s):
  - d. Name(s) of defendant(s) with some personal/arrest identifiers
  - e. Court Docket Number and Court County
  - f. QACI is not possible for any Odyssey-based county due to AOC's county transition to [Odyssey](#).
5. **Defendant/Witness Court Schedule – QACS**
- a. Court schedule of defendants and witnesses
  - b. Witness Types
    - 1) Complainant, defense, state, inactive, and unknown
    - 2) Law enforcement officers if listed as a witness
  - c. Inquiry on unserved warrants will provide a list of unserved warrants associated with the name used in the query. If you have access, also check these resources:
    - 1) [eWarrants](#) to review NC warrants entered with NCIC NIC numbers which allows for warrant-tracking between the two separate NC databases.
    - 2) [CJLEADS](#) to review watchlist activity on your wanted person(s).
  - d. Inquiry on disposed charges will provide a list of all cases that have been disposed of by the courts or District Attorney and are associated with the name used in the query.
  - e. Response will include witness name(s), witness number, defendant name, Court Docket Number, scheduled court date, courtroom number, and offense.
  - f. QACS is not possible for any Odyssey-based county due to AOC's county transition to Odyssey.

## **IX. INTERNET SITE — NC DEPARTMENT OF PUBLIC SAFETY, DIVISION OF ADULT CORRECTIONS — DPS/DAC**

### **A. North Carolina Offender Information**

1. Available **ONLY** to criminal justice users. Information on all past and current offenders (inmates, probationers, and parolees).
2. **Search**
  - a. Offender's Name — allows the user to search by offender's name (and optional physical descriptors) and/or numerical identifiers (OLN, Offender ID number, etc.).
  - b. Tattoo Search — allows the user to search for a specific tattoo by body location and description.
  - c. Photo Lineup — allows the user to create a photo lineup of similar individuals from DPS/DAC offender files.
  - d. Customized Search — a wide search based on criteria such as age, county, crime, ethnicity, eye color, hair color, height, weight, race, sex, etc.
3. **Response**
  - a. Will provide physical details
  - b. Summary of the most recent incarceration
  - c. Sentence history and probation/parole record
  - d. Also an image will be provided if available.
4. Links to prisoner releases, escapes, offender statistics, and a feedback page for comments.

### **B. Access to DPS/DAC Offender Information**

1. Internet URL is [www.doc.state.nc.us/offenders](http://www.doc.state.nc.us/offenders)
2. Entry to Law Enforcement Search portal is password protected.
  - a. Password is changed every 90 days with notification by email.
  - b. Common User ID shared by authorized users of the system.
  - c. [Access Request Form](#) will authorize personnel in law enforcement and criminal justice agencies.
  - d. To receive quarterly emails with updated password, [see instructions](#) in Omnixx LINKS—Resources—DOC password.
3. Access to the Law Enforcement Search link using the DPS/DAC username and password is for **criminal justice agencies only**.



# **Module 2**

## **Criminal Record Inquiries**

### **Independent Exercises**



## Sources of Records and Access/Dissemination

**Complete each of the following questions by providing your answer in the blank provided.**

1. "Need to Know" implies that criminal justice agencies have access to criminal/investigative records for what reasons?

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2. What is the national name index for which the FBI has received a valid criminal fingerprint card?

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3. What has taken place when a record has been disseminated to an authorized person outside the initial requesting agency?

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4. What are the records that are maintained by local agencies in other states and/or Canada that may or may not be documented by fingerprint cards?

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5. Who should an individual contact to request a review of his/her computerized record?

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# Authorized Uses & Transactions for National/State Records

1. A National Name Inquiry (QH) includes a search of the wanted/missing file.
  - a. True
  - b. False
  
2. Which purpose code should law enforcement use for investigations into criminal cases of domestic violence & stalking?
  - a. H
  - b. J
  - c. D
  - d. C
  
3. Which purpose code should be used for criminal justice employment?
  - a. D
  - b. C
  - c. J
  - d. None of the above
  
4. Use purpose code F to background check owners who pawn firearms (QH-QR). Do not use code F to return firearms to owners when in the possession of law enforcement (QDOF).
  - a. True
  - b. False
  
5. How does Public Housing Authority obtain a criminal record?
  - a. National Record Inquiry (QR)
  - b. NC Only \*Non-CJ\* Name Inquiry (QHNC)
  - c. Submit fingerprint card to FBI
  - d. None of the above
  
6. Criminal history inquires **CANNOT** be performed for BLET sponsorship **UNLESS**:
  - a. Individual is employed with your agency
  - b. Individual has applied for an open position with your agency
  - c. Both a & b
  - d. None of the above

## Authorized Uses & Transactions for NC Only Records

1. Background checks for non-criminal justice employment require which of the following?
  - a. State statute or local ordinance
  - b. Written approval from SBI
  - c. Both a & b
  - d. No requirements to run background checks
  
2. A North Carolina Only \*Non-CJ\* Name inquiry (QHNC) will search the following files:
  - a. Wanted/Missing/Violent Persons
  - b. Protection Orders
  - c. NC Concealed Handgun File
  - d. All of the above
  
3. A ZID transaction can be run on street names?
  - a. True
  - b. False
  
4. The Defense Attorney Access Form should be kept on file for:
  - a. Do not keep
  - b. 2 years
  - c. 1 year
  - d. Indefinitely
  
5. Which purpose code should be used for a Guardian Ad Litem inquiry?
  - a. GA
  - b. E# #
  - c. PA
  - d. None of the above

## **Nlets Transactions & Criminal History Inquiries Log**

1. How long are DCIN Criminal History Inquiries Logs (QCHL) available?
  - a. One year
  - b. 18 months
  - c. 2 years
  - d. Indefinitely
  
2. Canadian inquiries are reviewed by CPIC prior to dissemination outside of the country.
  - a. True
  - b. False
  
3. A local record inquiry (CHRI) is used to request additional information such as local records and photographs.
  - a. True
  - b. False

## **Authorized Uses & Transactions for NICS**

1. A NICS inquiry may be used in which of the following type of background check?
  - a. Employment
  - b. Disposition of firearms
  - c. Volunteers
  - d. Criminal investigations
  
2. Only specific ORIs within each agency will have authorization to access NICS.
  - a. True
  - b. False
  
3. Which NICS number must be maintained within the agency's case file and used in any subsequent NICS transactions?
  - a. NTN
  - b. FBI
  - c. SID
  - d. CKN
  
4. If an individual is prohibited from receiving the firearm, the NICS section should be notified using the Enter State Denial Notification (NDN).
  - a. True
  - b. False
  
5. The Query NICS Records transaction (QDOF) provides an automatic spin-off of an AOC Criminal Defendant Name Inquiry transaction (QACD).
  - a. True
  - b. False

# **Module 2**

## **Criminal Records Inquiries**

### **Forms Section**



# Defense Attorney Access of SBI/DCI Network

14B NCAC 18B .0409

## For North Carolina CHRI and/or Driver's Issuance/History Data

\*Click here for fillable form\*

I, \_\_\_\_\_, of \_\_\_\_\_ Law Firm, in accordance with N.C.G.S. § 15A-141, represent the defendant identified below and have entered the named criminal/infracton case:

Identifying Information			
Defendant's Name			
Date of Birth		Race:	Sex:
Operator's License #	Issuing State:	*Social Security #: *Social Security Number is optional.	
Case Docket #	NC County:	Court Date:	

Information Requested	
<b>NC Criminal History Record Information**</b> (QHNC/QRNC & Purpose Code PA) ** Requires original signature of Defense Attorney and must be Notarized.	<input type="checkbox"/>
<b>NC Driving History</b> ** Requires original signature of Defense Attorney and must be Notarized.	<input type="checkbox"/>
<b>Out-of-State Driving History***</b> *** Requires original signatures of Defense Attorney and Defendant/Driver. Both signatures must be Notarized. *** Requires Defendant/Driver's written consent.	<input type="checkbox"/>

* * * * * <b>AGENCY USE ONLY</b> * * * * * DCIN Operators Name: _____ Date Processed: _____
---

### DEFENDANT / DRIVER'S WRITTEN CONSENT FOR RELEASE OF PERSONAL INFORMATION

I, \_\_\_\_\_ (printed name of motorist), authorize the \_\_\_\_\_ (name of agency) to disclose or otherwise make available to my attorney, \_\_\_\_\_ (name of attorney), personal and highly restricted information including: Identifying Information; Photographs; Images; Social Security Number; Driver Identification Number; Name; Address; Phone Number; Medical and Disability Information about me in connection to my Motor Vehicle Operator's Permit and/or License; Motor Vehicle Title; Motor Vehicle Registration; Driver Safety Record; and Identification Card issued by a department of motor vehicles.

\_\_\_\_\_  
Defendant/Driver **Original** Signature

\_\_\_\_\_  
Date

#### NOTARY PUBLIC

COUNTY OF \_\_\_\_\_

STATE OF \_\_\_\_\_

SWORN AND SUBSCRIBED BEFORE ME THIS THE \_\_\_\_\_ DAY OF \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC'S SIGNATURE  
(SEAL)

MY COMMISSION EXPIRES: \_\_\_\_\_

I understand that the use of this information for any purpose other than those outlined above, any misuse of this information obtained through the SBI/DCIN System, or fraudulent completion of this document may result in criminal, civil, or administrative penalties – 14B NCAC 18B .0409

Requesting Defense Attorney Information (ONLY ONE ATTORNEY PER FORM)		
Attorney's Printed Name		NC State Bar #:
Attorney's Original Signature No Stamps, No Faxed Copies, No Computer Generated Signatures		Date:
Address		Telephone #:

#### NOTARY PUBLIC

COUNTY OF \_\_\_\_\_

STATE OF \_\_\_\_\_

SWORN AND SUBSCRIBED BEFORE ME THIS THE \_\_\_\_\_ DAY OF \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC'S SIGNATURE  
(SEAL)

MY COMMISSION EXPIRES: \_\_\_\_\_



# Public Housing Authority Access to DCI/NCIC Networks

I, \_\_\_\_\_ of \_\_\_\_\_ in  
(Name) (Public Housing Authority)  
accordance with Public Law 104-120 request Criminal Conviction Records for the below identified adult applicants for, or tenants of, public housing. This request is made for purposes of applicant screening, lease enforcement, or eviction.

The \_\_\_\_\_ in reliance on the information  
(Law Enforcement Agency)  
provided herein by the Public Housing Authority agree to access state and national criminal history records for the applicants or tenants named herein. The Public Housing Authority agrees to use this information only in conformity with Public Law 104-120. The Public Housing Authority understands that any misuse of this information obtained through the DCIN/NCIC system will be reported to the Federal Bureau of Investigation.

\_\_\_\_\_  
Signature of Public Housing Agency Representative

\_\_\_\_\_  
Address

\_\_\_\_\_  
City, State, Zip

\_\_\_\_\_  
Date of Request

\_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
Name

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Race

\_\_\_\_\_  
Sex

\_\_\_\_\_  
Social Security Number

\_\_\_\_\_  
Any Other Numerical Identifiers

☐ No Record Found

☐ Possible Record/Submit Fingerprints

\_\_\_\_\_  
Name

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Race

\_\_\_\_\_  
Sex

\_\_\_\_\_  
Social Security Number

\_\_\_\_\_  
Any Other Numerical Identifiers

☐ No Record Found

☐ Possible Record/Submit Fingerprints

\_\_\_\_\_  
Page \_\_\_\_ of \_\_\_\_

# Public Housing Authority Access to DCIN/NCIC Network

## Additional Pages if Needed

---

Name

---

Date of Birth

---

Race

---

Sex

---

Social Security Number

---

Any Other Numerical Identifiers

☐ No Record Found

☐ Possible Record/Submit Fingerprints

---

Name

---

Date of Birth

---

Race

---

Sex

---

Social Security Number

---

Any Other Numerical Identifiers

☐ No Record Found

☐ Possible Record/Submit Fingerprints

---

Name

---

Date of Birth

---

Race

---

Sex

---

Social Security Number

---

Any Other Numerical Identifiers

☐ No Record Found

☐ Possible Record/Submit Fingerprints

---

Name

---

Date of Birth

---

Race

---

Sex

---

Social Security Number

---

Any Other Numerical Identifiers

☐ No Record Found

☐ Possible Record/Submit Fingerprints

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Page \_\_\_\_ of \_\_\_\_

## Form Instructions — Public Housing Authority

The attached form has been developed for use by North Carolina Public Housing Authorities (PHA) and North Carolina law enforcement agencies. This form is not intended to be used to obtain any information not specifically authorized by law. This form is a recommended form and is not required by law. It is recommended that law enforcement agencies establish a policy to incorporate the utilization of this form or other method of processing of Public Housing criminal history requests.

Instructions for utilizing this form are as follows:

1. Public Housing Authority (PHA) should fill out all appropriate information listed on the form for each name provided (at least Name, DOB, Race, Sex).
2. PHA should provide law enforcement agency the original copy with original signatures (notary not required). PHA should keep a copy for their records.
3. Law enforcement agency should conduct the appropriate name inquiry transaction (QH) utilizing all data provided with the given names. When response to inquiry is received, verification should be made to assure the correct data fields were used in the inquiry. Law enforcement agency should check the appropriate block on the form to indicate either "No Record Found" or "Possible Record/Submit Fingerprints". If a multiple response is received based on the information provided, the block "Possible Record/Submit Fingerprints" should be checked so PHA can verify by fingerprint submission to the FBI.
4. **NO RESPONSES FROM DCIN SHOULD BE GIVEN TO THE PHA.**
5. The law enforcement agency should maintain a copy of the completed PHA Request Form for a period of 1 year. This is suggested for accountability purposes only. It is not part of the criminal history logging requirement.
6. A copy of the completed form may be mailed to the authorized representative of the PHA who signed the form.

***Any questions regarding the utilization of this form should be directed to the SBI/CIIS Training Specialist for your district.***

# Department of Social Services Request Form

## Criminal History Record Information - Name Search: Public Law 109-248

**Requesting  
Agency**

**ALL FIELDS MANDATORY**

PRINT CLEARLY

Date of Request: \_\_\_\_\_

Requesting Agency: \_\_\_\_\_ ORI: \_\_\_\_\_

Requested By: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_ Case Number: \_\_\_\_\_

Purpose of Request: \_\_\_\_\_

Certification:

1. This request is for investigating or responding to reports of child abuse, neglect or exploitation only, and not placement, pursuant to Public Law 109-248, Section 151 ("Adam Walsh Child Protection and Safety Act of 2006").
2. Dissemination of Criminal History Record Information (CHRI) is governed by statutes, laws and regulations and as the requestor, I will comply with and be subject to the provisions of both state and federal law and regulations, including, but not limited to Public Law 109-248, 12 NCAC 04F .0401 (Dissemination of CCH Records).
3. I understand this form should be maintained by the Requesting Agency, available for review by state and federal regulating authorities at various times, including state and federal compliance audits.
4. Information obtained will not be disclosed to the individual that is the subject of the records check.
5. That I am requesting and will use this information only in my official capacity with my agency.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### Search Requested (Subject of Records Check):

\_\_\_\_\_  
Last Name First Name Middle Name Suffix

\_\_\_\_\_  
Maiden/Aliases Name Aliases Race Sex

\_\_\_\_\_  
Date of Birth (approximate age, if unknown) SSN (optional) Driver's License Number/State

\_\_\_\_\_  
Place of Birth Current Address

Type of CHRI Search Requested: ☒ **State and National (QH/QR – Purpose Code C)**

**Processing  
Agency**

**ALL FIELDS MANDATORY**

PRINT CLEARLY

Processing Agency: \_\_\_\_\_ ORI: \_\_\_\_\_

Processed By: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Information Disseminated: \_\_\_\_\_ **No Record** \_\_\_\_\_ **Criminal Record Attached**

Based on the Following Identifiers: (choose all that apply) \_\_\_\_\_ Name \_\_\_\_\_ Date of Birth \_\_\_\_\_ SSN  
\_\_\_\_\_ Race \_\_\_\_\_ Sex \_\_\_\_\_ Maiden/Aliases

Certification:

1. I have determined the above request meets state and federal regulations for access and dissemination.
2. This request is being made only for investigating or responding to reports of child abuse, neglect or exploitation and not placement, Pursuant to Public Law 109-248, Section 151.
3. I understand this form should be maintained by the Processing Agency, available for review by state and federal regulating authorities at various times, including state and federal compliance audits.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# Supplemental Questions for Non-US Citizens

[\\*Click here for printable form\\*](#)

Federal law makes it unlawful for aliens who are illegally or unlawfully in the United States to receive or possess firearms. In addition, subject to certain exemptions, aliens who are in a Non-Immigrant status are prohibited from possessing or receiving firearms in the United States.

**Immigrant Alien**– Legally accorded the privilege of residing permanently in the U.S. to work without restrictions. Typically, these individuals receive an ICE-Issued Permanent Resident Card/Green Card. ICE provides a United States Citizenship and Immigration Services (USCIS) #, which was formerly Alien Registration (AR) #.

**Non-Immigrant Alien** – An individual having permanent residency from another country but admitted into the U.S. for a temporary period of time, i.e., student, worker. ICE provides an I-94 # that can be obtained by the applicant from [www.cbp.gov](http://www.cbp.gov). In addition to the I-94#, those Non-Immigrants who work in the U.S. may also have an AR/USCIS #. Either number can be provided. NOTE: Most Non-Immigrants will be admitted into the U.S. under a Visa. It is necessary to know if the Non-Immigrant is under a Visa to make a final determination.

To determine if Non-U.S. Citizens are prohibited from possessing firearms under Federal law, it is necessary to obtain answers to the following questions.

- 1) Name \_\_\_\_\_
- 2) What is your country of citizenship? \_\_\_\_\_
- 3) What is your place of birth? (Country) \_\_\_\_\_

## **SELECT APPROPRIATE IMMIGRANT CLASSIFICATION: (only choose one)**

- 4) **Immigrant Alien?** \_\_\_\_\_ ☐ YES ☐ NO  
What is your ICE-issued AR/USCIS#? \_\_\_\_\_  
If the answer to Question 4 is "YES", use "F" in the Citizenship (CTZ) field and enter the **AR** code and number in the Miscellaneous Number (MNU) field of the appropriate **QDOF/QNP** transaction.
- 5) **Non-Immigrant Alien?** \_\_\_\_\_ ☐ YES ☐ NO  
What is your ICE-issued I-94#? \_\_\_\_\_  
If the answer to Question 5 is "YES", proceed to Question 5a.
- 5a) **Admitted under Non-Immigrant Visa?** \_\_\_\_\_ ☐ YES ☐ NO  
If the answer to Question 5a is "YES", proceed to Question 5b.  
If the answer to Question 5a is "NO", use "F" in the Citizenship (CTZ) field, "N" in the Exception Documentation (EXC) field since an exception is not required and enter the **AR** code and number in the Miscellaneous Number (MNU) field of the appropriate **QDOF/QNP** transaction.
- 5b) Which of the following exceptions set forth in 18Z USC 922(y) do you meet? Please attach documentation to support your entitlement to the claimed exemption, if applicable.

<input type="checkbox"/> Valid Hunting License/Permit = Y	<input type="checkbox"/> Foreign Law Enforcement Officer = Y
<input type="checkbox"/> Official Representative of a Foreign Government = Y	<input type="checkbox"/> Waiver from Prohibition = Y
<input type="checkbox"/> Foreign Government Official/Distinguished Visitor = Y	<input type="checkbox"/> No Documentation Provided = N

**Validate** the exception and then use "F" in the Citizenship (CTZ) field, "Y" in the Exception Documentation (EXC) field and enter the **AN** code & number in the Miscellaneous Number (MNU) field of the appropriate **QDOF/QNP** transaction. **NOTE:** If an exception is not provided, then use "N" in the Exception Documentation (EXC) field. This individual is prohibited. Do not initiate a transaction until they obtain an appropriate exception.

**I certify that the above answers are true and correct.**

\_\_\_\_\_  
Immigrant's Signature

45

\_\_\_\_\_  
Date

# Federal Prohibitors for Disposition of Firearms

## Gun Control Act **Title 18, United States Code, Section 922**(g) & (n)

### The federal firearm prohibitions apply to any person who:

- (g)(1) Has been convicted of a crime punishable by imprisonment for a term exceeding one year (or a misdemeanor crime punishable by imprisonment over two years)
- (g)(2) Is a fugitive from justice
- (g)(3) Is an unlawful user of or addicted to any controlled substance
- (g)(4) Has been adjudicated as a mental defective or committed to a mental institution
- (g)(5) Is an alien and is illegally or unlawfully in the United States
- (g)(6) Has been discharged from the Armed Forces under dishonorable conditions with a status of 'executed'.
- (g)(7) Has renounced their U.S. citizenship
- (g)(8) Is subject to a qualifying protection/restraining order
- (g)(9) Has been convicted in any court of a misdemeanor crime of domestic violence
- (n)(10) Is under indictment/information for a crime punishable by imprisonment for a term exceeding one year

# NC State Prohibitors for Disposition of Firearms

## The state firearm prohibitions apply to any person who is:

1. Under indictment or information for, or has been convicted in any state, or in federal court, of a felony (other than an offense pertaining to antitrust violations, unfair trade practices, or restraints of trade).— [NCGS § 14-404\(c\)\(1\)](#)
  - However, a person who has been convicted of a felony and who is later pardoned may receive a weapon if it does not violate a condition of the pardon.
  - A convicted felon may be able to receive a weapon if his or her firearms rights have been restored independent of receiving a pardon.
2. Fugitive from justice — [NCGS § 14-404 \(c\)\(2\)](#); — [18 USC §922\(g\)\(2\)](#)
3. Unlawful user of or addicted to marijuana or any depressant, stimulant, or narcotic drug (as defined in [21 U.S.C. 802](#)) — [NCGS § 14-404\(c\)\(3\)](#); — [18 USC §922\(g\)\(3\)](#)
4. Adjudicated as a mental defective or has been committed to a mental institution — [NCGS § 14-404\(c\)\(4\)](#); — [18 USC §922\(g\)\(4\)](#)
5. An alien illegally or unlawfully in the United States. — [NCGS § 14-404\(c\)\(5\)](#); — [18 USC §922\(g\)\(5\)](#)
6. Discharged from the Armed Forces of the US under dishonorable conditions [NCGS § 14-404\(c\)\(6\)](#); — [18 USC §922\(g\)\(6\)](#)
7. Having been a citizen of the U.S. has renounced his or her citizenship. [NCGS § 14-404\(c\)\(7\)](#); — [18 USC §922\(g\)\(7\)](#)
8. Currently subject to a court order that:
  - (1) Was issued after a hearing of which the person received actual notice, and at which the person had an opportunity to participate;
  - (2) Restrains the person from harassing, stalking, or threatening an intimate partner of the person, or engaging in other conduct that would place an intimate partner in reasonable fear of bodily injury; and
  - (3) Includes a finding that the person represents a credible threat to the physical safety of the intimate partner or child; or by its terms explicitly prohibits the use, attempted use, or threatened use of physical force against an intimate partner or child that would reasonably be expected to cause bodily injury. — [NCGS § 14-404 \(c\)\(8\)](#)
9. Is in violation of the State or Federal standards for the possession of firearms. — [NCGS § 14-404 \(a\)\(1\)](#)



## Example NICS Denial Notification

The following is the denial notification that will be received when an individual is denied the attempted transfer of a firearm. For more information see:

\*\*\*\*\*

### **FIREARM DENIAL NOTICE:**

### **A PERSON PURCHASING/RESIDING IN YOUR JURISDICTION WAS RECENTLY DENIED THE TRANSFER OF HANDGUN**

\*\*\*\*\*

THE FBI ENCOURAGES YOU TO CONTACT YOUR LOCAL BUREAU OF ALCOHOL, TOBACCO,  
FIREARMS AND EXPLOSIVES OFFICE PRIOR TO TAKING ACTION. CHARLESTON ATF, 304-234-5678

THE NATIONAL INSTANT CRIMINAL BACKGROUND CHECK SYSTEM (NICS) SECTION CONDUCTED  
A NAME SEARCH USING DESCRIPTIVE DATA, NOT FINGERPRINTS, FOR A FIREARM BACKGROUND  
CHECK WHICH WAS DENIED ON 4/26/2022, 02:02:23PM FOR:

NAME: DOE, JOHN L. **NTN: 102356748**

SEX: M RACE: W DATE OF BIRTH: 10-11-1990 PLACE OF BIRTH: WV

HEIGHT: 6'1" WEIGHT: 185 SOCIAL SECURITY NUMBER: 123-45-6789

RESIDENCE ADDRESS: 456 AMERICAN WAY, APPLE PIE, APPLE PIE COUNTY, WV 22445

INFORMATION RECEIVED INDICATES THE ATTEMPTED PURCHASER IS PROHIBITED FROM  
RECEIVING OR POSSESSING FIREARMS IN THE STATE OF PURCHASE AND/OR STATE OR  
RESIDENCE, BASED ON:

SUBJECT OF QUALIFYING PROTECTION ORDER

THE ATTEMPTED PURCHASE OCCURRED AT:

FIREARM DEALER: USA ARMS

ADDRESS: 123 MAIN STREET, HOMETOWN, HOMETOWN COUNTY WV, 23456

PHONE: 304-625-1002

SHOULD YOU HAVE QUESTIONS REGARDING THIS NOTIFICATION, PLEASE VISIT:

*(Web address will be inserted when established WWW.FBI.GOV)*

THIS NOTIFICATION WAS ALSO PROVIDED TO THE FOLLOWING ORI(S):

WV0470150 SO APPLE PIE COUNTY 304-478-0000

WV0625630 PD HOMETOWN 304-457-0000



# Overview of Criminal Record Inquiries

## TRANSACTIONS

	<b>Step 1</b> Is there a record?	<b>Step 2</b> Show the full record.	<b>Purpose Codes</b>
<b>National (includes NC)</b>	QH	QR	C, J, D, H
<b>NC Only</b>	QHNC	QRNC	PA, GA, E##
<b>Other States</b>	IQ	FQ	C, J, D, E, F
<b>Canada</b>	CIQ	CFQ	C, J, D, E, F

### Local Agency Record Requests:


- NC, Other States, or Canada
- **AQ** – to request information
- **AR** – to respond to request

### Others:

ICE Inquiry – **IAQ**  
Alias Name Search – **ZID**  
CCH Inquiries Log – **QCHL**

## DISPOSITION OF FIREARMS – NICS

QDOF Purpose IDs: 22–Handgun 23–Long Gun 24–Other

			
Step1 <b>QDOF</b>	Step2 <b>QNR</b>	Step3 <b>NDN</b>	Step4 <b>NDO</b>
Checks all NICS Files	Shows the full records	Alerts NICS of denial. Flags person for lifetime	Removes NICS flag
No record? <b>STOP</b>	Returning weapon? <b>STOP</b>	No appeal/Judge upholds denial? <b>STOP</b>	<b>Back to Step 1!</b>
Record? <b>Go to Step 2</b>	Denying weapon? <b>Go to Step 3</b>	Judge overturns denial? <b>Go to Step 4</b>	

**DON'T FORGET TO RUN OTHER BACKGROUND TRANSACTIONS (DMV, AOC, etc.)**

## AOC TRANSACTIONS

Transactions	Purpose
QACD	Search by Defendant's Name
QACR	Search by County Code & Docket Number (for specific case)
QACI	Search Defendant's Record by SID or CKN (Shows cases with fingerprints only)
QACS	Search Defendant/Witness Court Schedule

# Instructions for Taking the Online Certification Tests

1. Users must attend 90% of classroom instruction to be authorized to test for DCIN certification.
2. The DCIN Training Specialist will assign test authorization for each user at the end of the last day of classroom instruction.
3. **Before** users test for DCIN certification, they **must coordinate testing with their agency** Terminal Agency Coordinator (**TAC**) or Assistant TAC (**ATAC**). The TAC/ATAC will schedule a date/time for the testing and may specify a location where the testing is to occur.
  - a. Users must test ***within 15 calendar days*** at end of class instruction.
  - b. If testing has not been ***completed within the 15 days*** from the end of class instruction, test authorization in Omnixx Trainer ***will expire***.
  - c. Users will be ***required*** to attend DCIN class ***again***. See the NC Administrative Rule ([14B NCAC 18A.0402](#)).
4. If a user takes a certification test without coordination with agency TAC/ATAC, **the score will be deleted, and the user must retake the test.** The user may be sanctioned by the SBI. A subsequent violation, after having been sanctioned, may result in revocation of the user's DCIN certification.
5. Users can recertify within 30 days of expiration. Users can take recertification tests up to 365 days after their expiration dates have passed. However, they cannot sign into Omnixx Force and operate the system until successful completion of the test(s). If they do not have a passing score of 80% or higher on or before the 365<sup>th</sup> day, they will be required to attend DCIN class again and complete testing to obtain certification in appropriate module(s).
6. Tests consist of both true/false and multiple-choice questions pulled at random from a pool of test questions. All DCIN Module tests consist of 25-test questions.
7. Tests are timed to allow a user 40 minutes to complete the test. If a user does not complete the test within the time limit allowed, the test will automatically be submitted and graded.
8. While taking the online test, users may use their certification manual and their notes from class. Users may not use any other materials. **Users CANNOT receive assistance from anyone while taking this test**, except clarification from the TAC/ATAC on how to use the Omnixx Trainer software.

# Instructions for Taking the Online Certification Tests

9. **Cheating or assisting in cheating is FRAUD!** If a user cheats or assists another user to cheat, **the user's DCIN certification may be revoked.** Results of the investigation will be turned over to NC Department of Justice Training & Standards Division which may revoke other certifications as well (*law enforcement officer, criminal justice instructor, telecommunicator, and/or correctional officer certifications*).
10. Any user that fails the online test may take the test **up to three (3) times** at any time convenient for the user and the TAC/ATAC even if it is within the 24-hour period. The 24-hour wait-period NCAC rule has been suspended.
  - a. *If the user fails all three (3) attempts over the 15-calendar-day test period, the user must attend DCIN class again for better comprehension of the material.*
  - b. *TACs/ATACs and users are accountable to the NC Administrative Rule ([14B NCAC 18A.0402](#)) even though Omnixx may not technically prohibit test-taking beyond three (3) attempts.*
11. When the test has been submitted for grading, the user will immediately receive a Test Results page displaying the test score and all questions and answers from the test. This will now allow users the ability to review missed test questions.
12. **Users are required to confirm** that they reviewed test results by clicking on the **"I acknowledge reviewing my test results"** at the bottom of the page. Their certification status will then be updated to reflect the new 2-year certification.
  - a. *Acknowledgement step **must be completed BEFORE** the Test Results page can be printed.*
  - b. *If Acknowledgement is **NOT clicked**, the user's current test status will not be saved, and the user's certification status will show expired.*
13. **The Test Results page MUST BE PRINTED, signed, and dated by both the TAC/ATAC and user, then placed in the appropriate training file maintained by the agency for the 2-year certification timeframe.**
14. Users must make a score of **at least an 80% or higher** for each module test taken in order to obtain certification or recertification. Users making an 80% or higher are granted certification rights immediately.