

## OFFICE OF THE CHIEF OF POLICE

### NOTICE

10.4

April 3, 2020

**TO:** All Department Personnel

**FROM:** Chief of Police

**SUBJECT:** CALIFORNIA DEPARTMENT OF JUSTICE GUIDELINES

Criminal history inquiries, or “rapsheet” queries are made via the Automated Criminal History System (ACHS), which is administered by the California Department of Justice (DOJ). As authorized users of ACHS, Los Angeles Police Department (Department) personnel are mandated to follow DOJ guidelines.

All ACHS queries are tracked, and DOJ routinely audits the Department compliance with user guidelines. Department Manual Sections 3/408.16 through 408.30 articulate the guidelines for criminal history queries. A previous audit by the DOJ resulted in the publication of Office of the Chief of Police Notice, dated October 8, 2014, entitled “California Department of Justice Guidelines for Criminal Offender Record Information Queries.”

Effective immediately, Department employees shall adhere to DOJ requirements including the following guidelines. **Employees who fail to adhere to DOJ ACHS procedures will have their access suspended:**

The “Need to Know” must be substantiated for all Criminal Offender Record Information (CORI) queries in ACHS. The DR#/REASON field is a mandatory field which shall contain either a Divisional Record (DR) number or booking number. The use of generic terms or abbreviations such as “inv,” “invest,” “arrest,” “info,” “warrant,” etc., are not acceptable and shall not be used.

If the inquiry is not connected to a DR or booking number, the ADDITL REASON field shall be utilized to provide sufficient information to justify the inquiry. The DOJ requires documentation to support all queries. Therefore, the justification must be linked to a verifiable document such as an Automated Field Data Report (AFDR), warrant package, supervisors log, case file, WeTip file, etc. The documentation shall remain available for inspection for a period of three (3) years.

In accordance with the California Law Enforcement Telecommunications System (CLETS) policies the Department shall not use ACHS and CORI for the purpose of licensing, employment or certification. This includes ACHS queries for the purpose of renewing identification cards, issuing carrying concealed weapons permits, checking backgrounds for candidates, and training new officers.

The Department shall use the test data as provided by the DOJ for the purposes of training, demonstration, or testing within ACHS. Live data shall not be used for the purposes of training, demonstration, or testing. Test records information may be found within CA DOJ Information Bulletin 97-12-BCIA entitled CLETS/DMV/CJIS/TEST RECORDS.

**Note:** The 30 character "route to" field (RTE) in each ACHS inquiry must contain:

- The requestor's name, initials, or ID number
- The operator's name, initials, or ID number
- The specific reason for the request, such as case number or other data which specifies the nature of the request.

In addition, the FBI Interstate Identification Index (III) purpose field (PUR) must be coded properly. In almost all cases, Department personnel accessing ACHS to conduct a query would use PUR Code "C."

The following DOJ documents provide guidance regarding proper usage of ACHS: DOJ Information Bulletin 13-04-CJIS discusses CLETS procedures, ACHS restrictions, and requirements pertaining to the RTE field. Information Bulletin 97-12-BCIA provides the test data to be used to demonstrate and practice using the CLETS network. Information Bulletin 13-06-CJIS discusses the different codes available for the PUR field. Department employees are responsible for reviewing each document.

This Notice and attached Information Bulletins are also available through the Department's Learning Management System (LMS).

If you have any questions regarding this matter, please contact a supervisor in Criminal History Section, Records and Identification Division, at (213) 486-8180.



MICHEL R. MOORE  
Chief of Police

Attachments

DISTRIBUTION "D"



## CRIMINAL HISTORY

Inquiry formats to make a name and number search or to obtain a criminal history record from the California Automated Criminal History System (ACHS), as well as the NCIC Interstate Identification Index, are as follows:

### MASTER NAME INDEX FORMATS

NAME	IH QHA.AGENCYORI.NAM/XRAY,TEST.SEX/X. DOB/050555.RTE/REQUESTER'S NAME, OPERATOR INITIAL, IF DIFFERENT THAN THE REQUESTOR, AND SPECIFIC REASON.
CA DRIVERS LICENSE	IH QHN.AGENCYORI.OLN/P0626473.RTE/ REQUESTER'S NAME, OPERATOR INITIAL, IF DIFFERENT THAN THE REQUESTOR, AND SPECIFIC REASON.
SOCIAL SECURITY NO.	IH QHN.AGENCYORI.SOC/526324963.RTE/ REQUESTER'S NAME,OPERATOR INITIAL, IF DIFFERENT THAN THE REQUESTOR, AND SPECIFIC REASON.
FBI NO.	IH QHN.AGENCYORI.FBI/9001000.RTE/ REQUESTER'S NAME,OPERATOR INITIAL, IF DIFFERENT THAN THE REQUESTOR, AND SPECIFIC REASON.

### AUTOMATED CRIMINAL HISTORY SYSTEM FORMAT

CII NO.	IH QHY.AGENCYORI.99000015.REQUESTER'S NAME, OPERATOR INITIAL, IF DIFFERENT THAN THE REQUESTOR, AND SPECIFIC REASON.
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INTERSTATE IDENTIFICATION INDEX (III) FORMATS

NAME IH  
R.QH.AGENCYORI.NAM/XRAY,TEST.SEX/  
M.RAC/W.DOB/011954  
PUR/C.ATN/AGENCY'S NAME & CASE NO

FBI NO. IH  
R.QR.AGENCYORI.FBI/9001000.PUR/C.ATN/  
AGENCY'S NAME & CASE NO

Refer to the Criminal History Inquiry Manual for detailed information regarding inquiry formats.

CRIMINAL JUSTICE INFORMATION SYSTEM

Following are the test record inquiry formats to obtain test records from the other CJIS data bases. These are permanent test records, and are useful for training and demonstration purposes. The Supervised Release File (SRF) is the only test record that does not use a "T" in the inquiry format. Only the Department of Justice can cancel a permanent test record, and no agency may place a locate on one.

STOLEN VEHICLES IA  
TQV.AGENCYORI.LIC/SAM123

STOLEN BOAT IA  
TQB. AGENCYORI.REG/CF0000AB

WANTED PERSONS IW  
TQW.AGENCYORI.NAM/RECORD, CALIFORNIA  
TEST.SEX/M

RESTRAINING ORDER IW  
TQRR.AGENCYORI.NAM/RECORD,CALIFORNIA  
TEST.SEX/M

STOLEN PROPERTY IP  
TQAB.AGENCYORI.SER/TEST123456.CAT/R

PAWN PROPERTY IP  
TQAN.AGENCYORI.NAM/RECORD,CALIFORNIA  
TEST.DOB/050555

STOLEN FIREARM	IG TQGB.AGENCYORI.SER/TEST123456
VOLUNTARY FIREARM REGISTRATION	IG TQGH.AGENCYORI.NAM/RECORD,CALIFORNIA TEST.DOB/050555
MISSING PERSONS	IM TQM.AGENCYORI.RECORD, CALIFORNIA TEST.F
UNIDENTIFIED PERSONS	IM TQU.AGENCYORI.FCN/1869702100266 OCA/DOJTEST 2
SUPERVISED RELEASE FILE	IR QVC.AGENCYORI.NAM/RECORD, CALIFORNIA TEST.DOB/050555.SEX/M

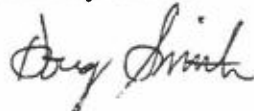
Agencies with update capability may also enter their own test records by using the Test Message Program. This program allows agencies to perform all data base functions without jeopardizing "live" records. The Test Message Program requires a "T" before any acceptable message key; i.e., TEWR - test entry message key for the Wanted Persons System. If the entry rules specified in the CJIS manual for each data base are not followed, test entries will receive error/reject messages. Any entered test records will be maintained in the data base for a maximum of seven days. This feature does not apply to the entry of test records through the Mobile Digital Terminal (MDT) (i.e., QWK, QGK) and Super Message Keys (i.e., GPW, PW, GP, GW).

The Test Message Program capability will allow agencies to enter, modify, inquire, locate, and cancel test records in any CJIS data base (with the exception of the ACHS and the SRF) for their own training and demonstration purposes. For additional information on the Permanent Test Record, Test Message Program refer to the CJIS Manual, Test Messages - On-Line Training sections for each data base.


Agencies without update capability or unable to use the "T" as part of the message key may still inquire into the CJIS test records permanent data base. Use any acceptable message key without the "T" designation and permanent test record subject information; i.e., QV, QW, QRR, QAB. The ability to obtain this test record message also applies to MDT Message Keys; QWK, QGK and Super Message Keys; i.e., GPW, PW, GP, GW. This inquiry feature does not apply to the Automated Boat System.

If you have any questions regarding test records via CLETS, please contact the Automated Systems Program at (916) 227-3754, or write the Department of Justice, Automated Systems Program, P.O. Box 903387, Sacramento, CA 94203-3870.

Sincerely,  
DANIEL E. LUNGREN  
Attorney General

A handwritten signature in black ink, appearing to read "Doug Smith". The signature is written in a cursive style with a large initial "D" and "S".

DOUGLAS A. SMITH, Chief  
Bureau of Criminal Information  
and Analysis

<p>California Department of Justice CALIFORNIA JUSTICE INFORMATION SERVICES DIVISION Cuong D. Nguyen, Director</p>		<h1>INFORMATION BULLETIN</h1>	
<p><i>Subject:</i> Interstate Identification Index (III)</p>	<p><i>No.</i> 13-06-CJIS</p>	<p><i>Contact for Information:</i>  Client Services Program (916) 227-3332</p>	
<p><i>Date:</i> 5/17/13</p>			

**This Information Bulletin supersedes Information Bulletin 11-07-BCIA**

**To: Interstate Identification Index Users**

The purpose of this bulletin is to remind agencies of the policies regarding the National Crime Information Center's (NCIC) Interstate Identification Index (III) "attention" field (ATN) and "purpose" field (PUR).

**III USE FIELD**

Criminal History Record Information (CHRI) from the III and the NCIC may only be used for an authorized purpose, consistent with the intent in which the Federal Bureau of Investigation (FBI) Criminal Justice Information Services (CJIS) system was accessed. Dissemination of information to another agency is authorized if: (a) the other agency is an authorized recipient of such information and is being serviced by the accessing agency; or (b) the other agency is performing personnel and appointment functions for criminal justice employment applicants (*CJIS Security Policy*, 7/13/12, Version 5.1, 4.2 Use and Dissemination of CHRI and NCIC restricted files Information, and NCIC non-restricted files information 8.2 Proper Access To, Use access, and Dissemination of FBI's CJIS System Information, 8.2.1 Proper Access To and Use of CHRI).

The NCIC policy is based on the authority of Title 28, United States Code, Section 534, which provides that the exchange of records shall be for the official use of authorized officials of the federal government, states, cities, and penal and other institutions.

**NCIC/III ATN FIELD**

As stated in the NCIC Operating Manual, the ATN field must indicate to whose attention the response shall be forwarded. This field must contain a minimum of three to a maximum of 30 alpha, numeric, and/or special characters. When using rank and/or initials, do not use periods.

**PURPOSE CODES**

The Privacy Act of 1974 requires that the FBI's CJIS Division maintain an audit trail for each disclosure of a criminal history record and the recipient of that record. Therefore, all III query history (QH) and query record (QR) transactions must include the purpose for which the CHRI is to be used.

**NCIC/III PUR FIELD**

The PUR field is a one-character alphabetic field used for III inquiries and record messages. It is mandatory for QH and QR transactions. The only codes permitted when making an III inquiry, via the California Law Enforcement Telecommunications System (CLETS), are:

**Purpose Code A - Administrative**

Used by authorized participating state agencies to retrieve records for internal review. Purpose Code A responses



cannot be disseminated for any other purpose. A QR for Purpose Code A allows a state to review CHRI, wants, and sex offender registry notifications that are in the III for that state.

#### Purpose Code C - Criminal Justice

Used for official duties in connection with the administration of criminal justice. The following examples clarify authorized uses of Purpose Code C in situations that are not part of a criminal justice investigation, but are duties of the agency where a criminal record check is necessary to accomplish the agency's mission. These examples are not all encompassing. *(Note: This is not allowable when conducting California inquiries.)*

1. Authorized uses of Purpose Code C in relation to the security of the criminal justice facility include:
  - A. Vendors or contractors at the criminal justice agency who are *not* involved with the actual administration of criminal justice at the criminal justice agency, e.g., carpet cleaners, individuals responsible for maintaining vending machines, janitors, and cooks.
  - B. Volunteers at a criminal justice agency who are *not* involved with the actual administration of criminal justice at the criminal justice agency, e.g., participants in community ride-along programs and volunteers at a confinement facility who are providing social or community services rather than rehabilitative services.
  - C. Confinement facility visitors.
  - D. Inmates of a confinement facility.
  - E. Inmate mail (a prisoner's list of names and addresses of those wishing to correspond with the prisoner). The III may be used when there is reason to believe that criminal activity is occurring or has occurred.
  - F. Participants of law enforcement-sponsored firearms training classes held at a public firing range who handle firearms, and individuals attending firearms training events held at law enforcement facilities.
2. Purpose Code C is used by government social service agencies with child protection responsibilities and the National Center for Missing and Exploited Children to access FBI CHRI under Section 151 of the Adam Walsh Child Protection and Safety Act of 2006 (Public Law 109-248).

#### Purpose Code D - Domestic Violence and Stalking

Used when the III transaction is for officials of civil or criminal courts in domestic violence or stalking cases. Civil courts may be issued Originating Agency Identifiers (ORIs) containing a D in the ninth position, at the discretion of the Department of Justice and the FBI's CJIS Division. ORIs ending in a D are limited to QH and QR transactions for Purpose Code D.

#### Purpose Code F - Weapons-Related Background Checks

Used by criminal justice agencies for the purposes of: (a) issuing firearms-related permits and explosives permits pursuant to California law, regulation, or local ordinance; (b) returning firearms to their lawful owners; and (c) enforcing federal and state laws prohibiting certain persons with criminal records from possessing firearms in circumstances in which firearms have been pawned. *(Note: The California Department of Justice Bureau of Firearms is the FBI NICS point of contact and the only California agency authorized by state law to conduct background checks for firearms and explosives.)*

#### Purpose Code H - Housing

Used when the III inquiry is made under the authority of the Housing Opportunity Extension Act of 1996. The use of this purpose code is limited to QH transactions and the CHRI obtained can only be disseminated to authorized California public housing agencies. The FBI's CJIS Division may assign public housing agencies ORIs containing the letter Q in the ninth position for use by authorized agencies.

Purpose Code J - Criminal Justice Employment

Used when the III transaction involves employment with a criminal justice agency or the screening of employees of other agencies in which the criminal justice agency is required to have management control. Such screening may include the use of III on friends, relatives, and associates of the employee or applicant, unless restricted or prohibited by California statute, common law, or local ordinance. Criminal justice employment (Purpose Code J) has been separated from other criminal justice purposes (Purpose Code C) due to varying requirements of some state agencies participating in the III.

Purpose Code J is used for initial background checks of agency personnel as well as the following:

- A. Noncriminal justice agencies that are involved with the administration of criminal justice on behalf of the criminal justice agency.
- B. Vendors or contractors who are involved with the administration of criminal justice for the criminal justice agency, e.g., personnel involved with maintenance of computer systems, upgrading records systems, data entry clerks, etc.
- C. Volunteers at the criminal justice agency who are involved with the administration of criminal justice for the criminal justice agency, e.g., volunteer dispatchers, volunteer data entry clerks, volunteers at a confinement facility who are providing inmate rehabilitation, etc.

Purpose Code X - Exigent Procedures

Used when a QH is made during an emergency situation when the health and safety of a specified group may be endangered. Following a QH, a QR may be used to review the individual's record. All requests for background checks for exigent purposes must be accompanied by fingerprints.

The FBI authorizes the access to III via Purpose Code X "to check for criminal history in limited situations when emergent circumstances exist that do not reasonably allow for immediate fingerprinting." Once authorized by the FBI, the DOJ will be notified and subsequently notify law enforcement of the availability of Purpose Code X and its intended purpose. Please note: At this point, California is not authorized to utilize this purpose code (i.e., the code cannot be used to access III for emergency placement with a relative or for reunification purposes).

**MESSAGE TYPE**                      **PURPOSE CODE ALLOWED**

QH    C, D, F, H, or J

QR    C, D, F, or J


**CONTACT INFORMATION**

If you have questions regarding the policies pertaining to the NCIC's III "attention" field (ATN) and "purpose" field (PUR) or NCIC audits or training, please call the DOJ Client Services Program at (916) 227-3332 or e-mail at [dojcsp@doj.ca.gov](mailto:dojcsp@doj.ca.gov).

Sincerely,

CUONG D. NGUYEN, Director  
California Justice Information Services Division

For      KAMALA D. HARRIS  
            Attorney General

<p>California Department of Justice CALIFORNIA JUSTICE INFORMATION SERVICES DIVISION Cuong D. Nguyen, Director</p> 	<h1>INFORMATION BULLETIN</h1>	
<p><i>Subject:</i> Criminal Offender Record Information (CORI)</p>	<p><i>No:</i> 13-04-CJIS</p> <p><i>Date:</i> 4-12-13</p>	<p><i>Contact for information:</i> Client Services Program 227-3332</p>

**This Information Bulletin supersedes Information Bulletin 07-01-BCIA**

**TO: California Department of Justice (DOJ) Automated Criminal History System (ACHS) Users**

This bulletin advises agencies of the regulations placed on the user and dissemination of DOJ's CORI and to remind agencies of the policies regarding the ACHS "route to" field (RTE).

**ACHS ACCESS**

Section 11075 of the Penal Code (PC) defines CORI as "records and data compiled by criminal justice agencies for purposes of identifying criminal offenders and of maintaining as to each such offender a summary of arrests, pretrial proceedings, the nature and disposition of criminal charges, sentencing, incarceration, rehabilitation, and release." State and local summary criminal history information is considered CORI.

Section 11105 of the PC identifies who has access to DOJ CORI and under what circumstances it may be released. Access is based upon the "right to know" and the "need to know." The "right to know" is defined as "authorized access to such records by statute" and the "need to know" is defined as "the information is required for the performance of official duties or functions."

Title 11, sections 703 (d) and 707 (b) of the California Code of Regulations (CCR) require agencies to conduct record clearances on all personnel hired after July 1, 1975, who have access to CORI. Record checks require the submission of fingerprints to the DOJ for processing. The clearances must be obtained for anyone who may have access to CORI, including non-criminal justice personnel having physical access to the computer systems, terminals or stored CORI. Visitors, such as tour groups, are not required to undergo a record check; however, they must be escorted at all times.

**ACHS RESTRICTIONS**

Unless specifically authorized by statute, agencies with access to ACHS via the California Law Enforcement Telecommunications System (CLETS) are prohibited from making inquiries into ACHS for employment, licensing or certification purposes. This restriction is based on the court's decision in *Central Valley v. Younger*.