

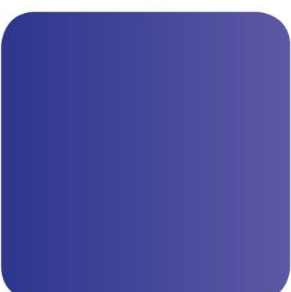
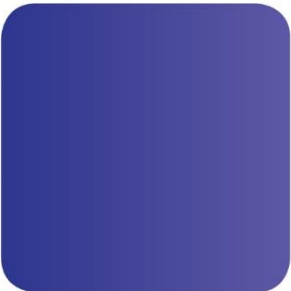
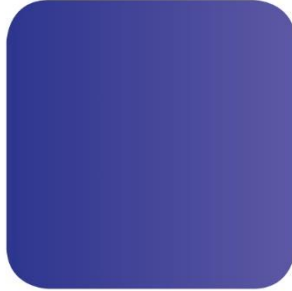
Law Enforcement Agency IBR Playbook:

Guide to Implementing an Incident- Based Reporting System

NCS-X Implementation Team

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Version 1.0



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About the *Law Enforcement Agency Incident-Based Reporting Playbook*

The National Crime Statistics Exchange (NCS-X) Implementation Team developed this *Law Enforcement Agency Incident-Based Reporting Playbook* with input from the Bureau of Justice Statistics (BJS) and the FBI. The NCS-X Implementation Team used the [U.S. Digital Services Playbook](#) as the foundation for this resource and customized it to focus specifically on incident-based reporting (IBR). The NCS-X Team designed this document to help guide law enforcement (LE) agencies through the transition process required to enable incident-based crime data reporting to their state IBR programs.

The NCS-X Implementation Team designed this *Playbook* to be the most beneficial to agencies that currently utilize a records management system (RMS) and some form of automated field reporting. Agencies that currently operate without an RMS or the ability to procure and operate one may consider joining a cost-efficient state- or regionally hosted RMS or exploring a subscription commercial cloud service RMS model to improve data capture and facilitate their agency's NIBRS reporting process.

This *Playbook* is not intended to be a standalone user guide for every LE agency's transition to NIBRS. While commonalities exist, every agency has unique processes that make up the system for collecting and reporting crime incident data. Agency personnel should evaluate each Play to determine its applicability to an agency's specific needs and circumstances. Supporting references and materials augment each Play. The NCS-X Implementation Team also may provide more detailed information and guidance about any specific Play upon request.

Your feedback is always welcome! We are especially interested in hearing from practitioners about steps they have taken to address particular needs or suggestions for addressing or augmenting Plays. Please contact us by emailing ncsx@rti.org or calling 800-344-1389.

What Is the National Incident-Based Reporting System?

The FBI Uniform Crime Reporting (UCR) Program is a nationwide, voluntary reporting program to which over 16,000 LE agencies report data on crimes known to LE. The International Association of Chiefs of Police (IACP) created the UCR Program in 1929. Since 1930, the FBI has administered it to gather information regarding the nature and volume of crime throughout the United States. The primary objective is to collect reliable information regarding common crimes to describe crime trends at the national level. Crimes include murder, rape, robbery, aggravated assault, human trafficking – commercial sex acts, human trafficking – involuntary servitude, burglary, larceny/theft, motor vehicle theft, and arson. Over the years, UCR data have evolved as one of the country’s leading social indicators. Researchers, policy makers, the media, and the general public rely on the UCR Program to understand the changing nature of crime.

In addition to gathering basic information on the crime types listed above that were reported to police, the UCR Program gathers data on arrests, case clearances, and LE officers who are killed or assaulted. The FBI uses these data to produce an annual report, *Crime in the United States*, which has been published since 1930. In nearly every state, state UCR Program offices collect and process crime data from local LE agencies and submit the collective data to the FBI. State UCR Programs typically produce state-specific reporting on crime trends in their respective jurisdictions.

Historically, the UCR Program has gathered periodic counts of offenses according to established rules, such as the hierarchy rule, which specifies that only the most serious offense in an incident is reported. Multiple offenses within an incident are not reported, which may obscure the number of crimes committed. Because of this and other limitations of the Summary Reporting System (SRS) of the UCR Program, the FBI has explored alternative ways of gathering crime data.¹ Recognizing the need to collect more complete information regarding criminal incidents, in 1989 the FBI proposed the use of a detailed incident-based data collection program named the National Incident-Based Reporting System (NIBRS), which captures information on all offenses occurring within an incident. NIBRS was also designed to capture detailed information about each incident, including victim and offender demographics and relationships; the date, time, location, circumstance of the incident; weapons used; nature of victim injuries; property stolen or damaged; and whether or not an arrest occurred. Through NIBRS, LE agencies report data on each offense and arrest across 24 offense categories made up of 52 specific crimes, called Group A offenses. For each Group A offense coming to their attention, LE collects administrative, offense, property, victim, offender, and arrestee information. NIBRS gathers arrest data for an additional 10 Group B offense categories. NIBRS determines Group A and Group B offenses using various factors, including seriousness or significance of the offense, frequency or volume of occurrences, or nationwide prevalence.

Most LE agencies generate UCR crime statistics as a by-product of internal RMSs, which are designed to support internal agency planning and operations. The agency forwards extracts of the incident report typically on a monthly basis to their respective state UCR Program either as summary statistics or as incident-based records. The state UCR Program reviews the agency submissions, validates the data according to established edits and business rules, compiles the data into state level reports, and forwards the data to the FBI for national statistical compilations.

¹Poggio, E. C., et al. (1985). *Blueprint for the Future of the Uniform Crime Reporting Program: Final Report of the UCR Study*. Washington, DC: Bureau of Justice Statistics and FBI. Accessed from <https://www.ncjrs.gov/pdffiles1/bjs/98348.pdf>

The FBI is committed to retiring the SRS and transitioning to a NIBRS-only data collection by January 1, 2021. The IACP, in conjunction with the Major Cities Chiefs Association (MCCA), National Sheriffs' Association (NSA), and the Major County Sheriffs' Association (MCSA), released a joint position paper on August 26, 2015, supporting the need to modernize the U.S. crime reporting system and expressing strong support for the adoption of NIBRS to replace the SRS.² Similarly, the FBI Criminal Justice Information Services Advisory Policy Board (APB) recommended a national transition to NIBRS-only data collection by 2021, with an annual re-evaluation of the transition effort. Former FBI Director James B. Comey accepted the APB's recommendation in February 2016.

Incident-based crime reporting built on NIBRS standards offers a number of benefits for LE nationwide:

- NIBRS takes advantage of the information already collected by many LE agencies using modern RMSs. While today's RMSs typically capture incident-based crime data, moving to a NIBRS reporting model will ensure a higher degree of data integrity through the enforcement of the NIBRS edits and validation rules. For those agencies not yet capturing the full measure of the NIBRS data elements, this transition will enrich their local crime data set and allow for a deeper and more expansive data-driven policing model.
- NIBRS provides a standardized framework, enabling LE agencies across the nation to report detailed crime data in a consistent and accurate manner.
- The NIBRS standard enables more detailed analyses of reported crime, victimization, and offending, including the ability to examine crime across jurisdictions using the same comprehensive set of data. NIBRS also provides details on the LE response to crimes reported to police, including arrest and case clearance outcomes.
- NIBRS supports LE agencies' need to develop sophisticated multi-agency and regional crime analysis capabilities, support tactical team and task force deployment, and strategic interventions.
- The NIBRS reporting standard produces more robust data, which contributes to the knowledge base supporting evidence-based research and practices, supports data-driven policing, and facilitates best practices in alignment with Commission on Accreditation for Law Enforcement Agencies, Inc. accreditation standards.
- Participating in NIBRS reveals a commitment to transparency and accountability that results in more useful information for better decision making and policy formulation across systems, organizations, jurisdictions, and domains.

²Joint IACP/NCCA/MCSA/NSA Recommendation. (2015). Accessed from <http://www.theiacp.org/Portals/0/Images/LEIM/Crime%20Reporting%20Joint%20Position%20IACP-MCC-NSA-MCSA%20082615.pdf>

What Is the National Crime Statistics Exchange and How Does It Relate to the National Incident-Based Reporting System?

BJS and the FBI are partners in the NCS-X Initiative, which is a critical step toward the FBI's goal of transitioning all U.S. LE agencies to NIBRS by January 2021. NCS-X is focused on transitioning a sample of 400 LE agencies to NIBRS, including the nation's largest agencies, and building incident-based collection and reporting capacity across the states. The NCS-X aims to provide timely and accurate detailed nationally representative measures of crime from state and local LE agencies. To produce these national measures, the NCS-X Initiative leverages the existing infrastructure of NIBRS and combines data from the approximately 6,900 LE agencies currently reporting NIBRS data with data from the scientific sample of 400 NCS-X agencies. When completed, this initiative will increase our nation's ability to monitor, respond to, and prevent crime by allowing the NIBRS to produce timely, detailed, and accurate national measures of crime incidents.

The NCS-X Implementation Team includes representatives from the following organizations: RTI International; IACP; the Police Executive Research Forum (PERF); the Integrated Justice Information Systems (IJIS) Institute; and SEARCH, the National Consortium for Justice Information and Statistics. The NCS-X Implementation Team provides technical assistance to NCS-X sample agencies and state UCR Programs, ranging from technical assessments and consultation, to providing marketing assistance and facilitating agency interactions across states. The Team also is coordinating efforts with local LE, state UCR Programs, relevant national associations, and the software industry to support transitioning the NCS-X sampled agencies to the NIBRS.

Other Department of Justice agencies, such as the Office for Victims of Crime also support the NCS-X Initiative, as do major LE organizations, including the IACP, MCCA, MCSA, NSA, and the Association of State UCR Programs. These organizations support the NCS-X and the transition to the NIBRS as the single crime reporting standard for the United States.



Resources

- ★ *NCS-X website hosted by BJS*, <http://www.bjs.gov/content/ncsx.cfm>
- ★ *NCS-X website hosted by IACP*, <http://www.iacp.org/ncsx>. Links to all resources listed below, including funding opportunities, are available from the IACP website.
- ★ *FBI's Overview of NIBRS*, <https://www.fbi.gov/about-us/cjis/ucr/nibrs-overview>
- ★ *Former FBI Director James Comey's Remarks at IACP 2015 addressing the need to modernize the nation's crime statistics*
<https://www.youtube.com/watch?v=wxNnCpOX90M&feature=youtu.be&t=23m4s>
- ★ *NIBRS User Manual*, <https://www.fbi.gov/about-us/cjis/ucr/nibrs/nibrs-user-manual>
- ★ *NCS-X Sample Agencies*, http://www.bjs.gov/content/pub/pdf/NCSX_sampled_agencies.pdf
- ★ *Joint Statement of support from MCCA, IACP, MCSA, and NSA regarding NCS-X and the national transition to NIBRS*,
<http://www.iacp.org/Portals/0/Images/LEIM/Crime%20Reporting%20Joint%20Position%20IACP-MCC-NSA-MCSA%20082615.pdf>

Playbook Principles

The NCS-X designed the *LE Agency IBR Playbook* to articulate best practices to guide LE agencies through the transition of becoming IBR agencies to their state UCR Programs. LE agencies may use the *Playbook* at any point in the life cycle of their incident reporting program. The Plays have been created with the following principles in mind:

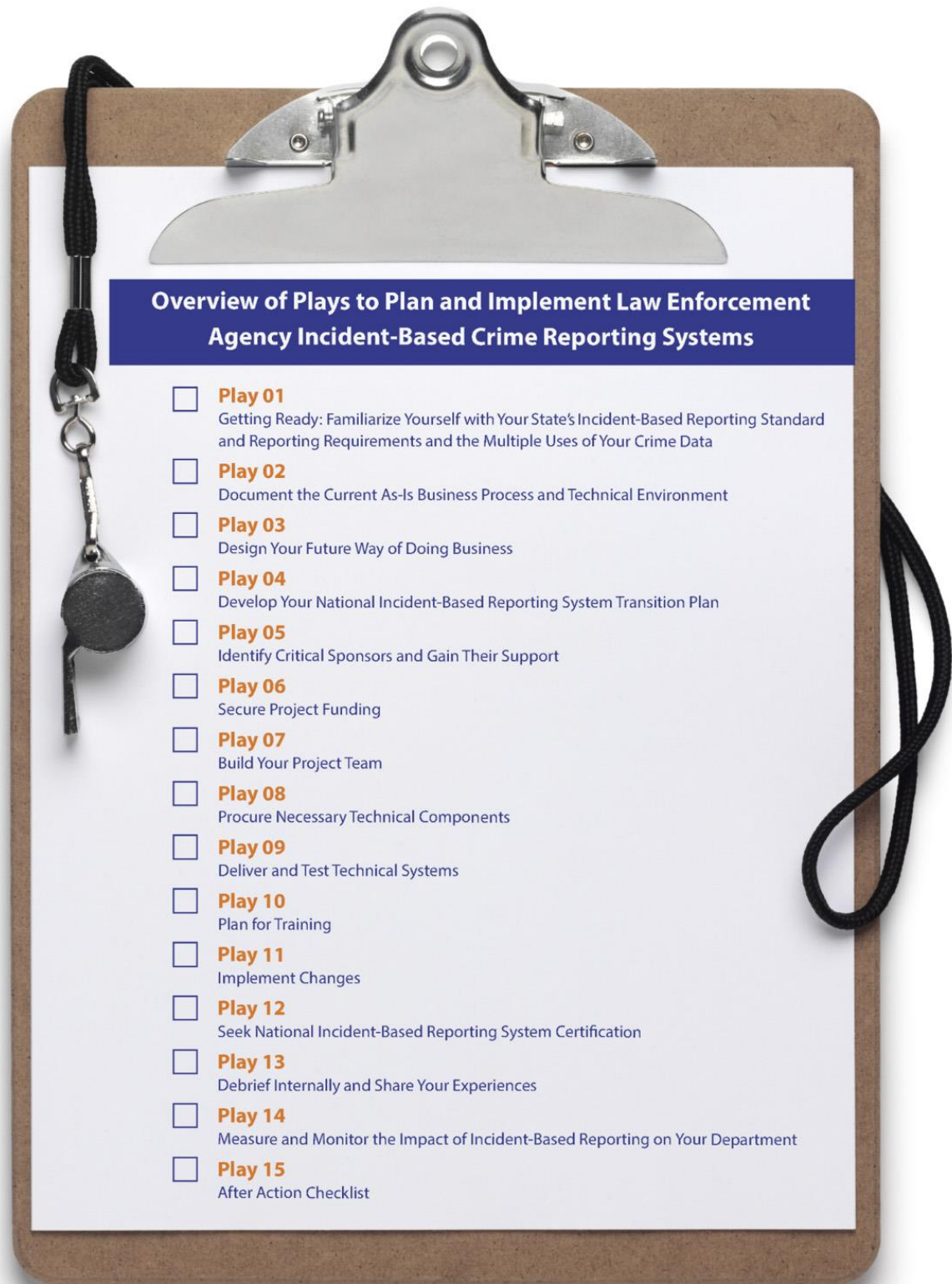


- The NIBRS standard is the basis for making a workable local, state, and national IBR system.
- The continuous engagement of the stakeholders (e.g., field officers, supervisors and command staff, records and technology staff, agency fiscal and planning resources) throughout the entire process will increase the probability of NIBRS success. Engaging stakeholders early in the IBR transition process and keeping them informed throughout are critical to the successful implementation of IBR.
- Almost every Play in the life cycle is iterative, which results in a more successful implementation. Converting to NIBRS is best accomplished by taking large sets of action items and organizing them into smaller, achievable tasks that may be clearly understood and quickly accomplished.
- The Plays proposed do not have to follow a prescribed order. Some of the proposed Plays should be done in parallel or started as the project begins. Supporting references and materials augment each Play and encourages users to explore these additional resources for further insight into the various processes. The NCS-X Implementation Team may provide more detailed information and guidance about any specific step upon request. Use the *Playbook* to organize your approach at a high level, and use the additional resources to help inform specific and required activities.
- Each agency should determine the Plays that are most applicable to them and adjust it to their individual circumstances.

Keep in mind the following key items to help guide your use of this *Playbook*:

- ➞ The *Playbook* is designed to assist all LE agencies, no matter the stage of planning. For agencies just beginning, consider the Plays as a suggested roadmap that incorporate the tried-and-tested processes. For intermediate and advanced users, the *Playbook* offers an opportunity to improve or augment the current process by incorporating Plays that may be missing or incomplete.
- ➞ The *Playbook* is not intended to be a standalone guide for LE agency conversion to NIBRS.
- ➞ Should you discover a resource that may be useful to other agencies in their transition to NIBRS, share it with us! Please contribute additional resources and comments by emailing ncxs@rti.org or calling 800-344-1389. Your experience and feedback is extremely valuable to the NCS-X team, and we are always open to including additional sources of information that may contribute to success. For NIBRS to become the single nationwide standard for crime reporting, there must

be a collaborative community where everyone contributes experiences and artifacts for the benefit of future projects.



Overview of Plays to Plan and Implement Law Enforcement Agency Incident-Based Crime Reporting Systems


- ☐ **Play 01**
Getting Ready: Familiarize Yourself with Your State's Incident-Based Reporting Standard and Reporting Requirements and the Multiple Uses of Your Crime Data
- ☐ **Play 02**
Document the Current As-Is Business Process and Technical Environment
- ☐ **Play 03**
Design Your Future Way of Doing Business
- ☐ **Play 04**
Develop Your National Incident-Based Reporting System Transition Plan
- ☐ **Play 05**
Identify Critical Sponsors and Gain Their Support
- ☐ **Play 06**
Secure Project Funding
- ☐ **Play 07**
Build Your Project Team
- ☐ **Play 08**
Procure Necessary Technical Components
- ☐ **Play 09**
Deliver and Test Technical Systems
- ☐ **Play 10**
Plan for Training
- ☐ **Play 11**
Implement Changes
- ☐ **Play 12**
Seek National Incident-Based Reporting System Certification
- ☐ **Play 13**
Debrief Internally and Share Your Experiences
- ☐ **Play 14**
Measure and Monitor the Impact of Incident-Based Reporting on Your Department
- ☐ **Play 15**
After Action Checklist

Play 01—Getting Ready: Familiarize Yourself with Your State’s Incident-Based Reporting Standard and Reporting Requirements and the Multiple Uses of Your Crime Data



“Delivering a project isn’t difficult. What’s difficult is delivering a project without first taking the time to plan properly.”

—James Leal

 Planning for the transition to NIBRS-compliant crime reporting requires a basic understanding of your state’s specific implementation of IBR. Some states have incorporated additional IBR requirements that vary from the national NIBRS reporting standards, often in response to state legislative or policy mandates. Two common examples are state requirements to submit domestic violence and bias-motivated crime data. Familiarizing yourself with the specific IBR standard within your state and how these data should be reported to your state UCR Program (e.g., flat file, XML format) is fundamental in planning your transition. If you have not already done so, reach out to your state UCR Program manager to understand the IBR standard and reporting requirements.

Your state’s IBR standard is the primary design goal for your collection implementation of IBR. State UCR Programs generally started with the FBI NIBRS standard and developed modifications to support additional state needs or reporting requirements. The FBI NIBRS technical specification standard was created to provide a common approach to reporting crime incident information by federal, state, local, and tribal LE agencies. The federal technical specification standard helps define business processes; provides a common framework, platform, and language to exchange information; and assists with security and privacy. State UCR Programs use the standard to report their data to the FBI. LE agencies should contact their State UCR Program and request their state’s version of the NIBRS technical specification that will guide local agencies and RMS providers regarding the submission of their IBR data to the state.

Even at this initial stage, it is important to understand the benefits of NIBRS reporting to both your agency and the broader community. Understanding its benefits will help build your business case so that you may effectively communicate those benefits to your agency’s leadership and government officials who may question its value. In addition to the resources listed below, you may find it helpful to attend state IBR or FBI NIBRS training sessions, where you will receive information to help prepare you for questions you may receive from others in your department.

Checklist

- ✓ Discuss IBR transition with state UCR Program, including any state-specific standards and data collection or submission options available to your agency.
 - ✓ Become familiar with the FBI NIBRS requirements and state modifications or additions to reporting requirements.
 - ✓ Gain an understanding of the business benefits to your agency and community that comes with moving to an IBR system.
-



Questions to Consider

- ☐ Does agency leadership support the transition to NIBRS-compliant reporting?
- ☐ Are the appropriate agency personnel informed regarding the specific differences between a UCR SRS and NIBRS-compliant reporting process?
- ☐ Have we connected with the state UCR Program personnel to thoroughly discuss the requirements of a NIBRS-compliant reporting system? Do we have a clear understanding of any additional state-level reporting requirements?
- ☐ Do we understand the benefits of an IBR process to our agency and community?
- ☐ What are my agencies' biggest concerns about transitioning to NIBRS? How may we address these concerns?



Resources

- ★ **BJS NCS-X website**, <http://www.bjs.gov/content/ncsx.cfm>
- ★ **NIBRS User Manual**, <https://www.fbi.gov/about-us/cjis/ucr/nibrs/nibrs-user-manual>
- ★ **IACP NCS-X website**, <http://www.iacp.org/ncsx>, for information on expected changes in crime statistics and case studies of agencies that have previously transitioned

Play 02—Document the Current As-Is Business Process and Technical Environment

“Awareness is the starting point of every quest and the outcome of every journey.”

—Azim Jamal and Brian Tracy, *What You Seek Is Seeking You*

Creating a written description of your agency’s current UCR data collection and report submission processes, technical environment, and records staffing allocations is an important step in understanding any changes that need to be made to those processes, technologies, or personnel in order to support the conversion to IBR.



First, conduct an IBR/NIBRS readiness assessment for your agency. This high-level review should consider how your agency collects crime incident reports—paper-based reports entered into the system at the end of a shift, automated field reporting, and other incident information collection scenarios. It will also help assess the nature and manner of information that your agency collects: incident attributes, structured data fields, open narrative. A readiness assessment may also serve as the basis for determining the steps your agency needs to take to become state IBR/NIBRS compliant, and the associated cost. In addition information gleaned from a readiness assessment may be helpful in justifying your funding requests.

Second, consider the business practices of your agency—the workflow of incident reporting from start to finish. How is information gathered, input, and reviewed? How is it stored and managed? How is it accessed and modified? All of these practices will factor into evaluating how your agency will transition from summary to IBR.

Next, document how crime data are used throughout your agency. In addition to generating crime statistics, does your agency use the data to inform tactical analysis, develop workload estimates, and inform other operational departments such as personnel management or finance, or other purposes? Does your agency generate standard crime reports that will need to continue, even under a state-IBR/NIBRS reporting structure? When documenting how the data are used, be sure to identify both internal and external stakeholders and users of the information. It may be that state-IBR/NIBRS data are more detailed and complete than what you have been collecting. Therefore, your agency’s transition plan should begin to consider potential new uses and analytic capabilities of IBR data. Play 03 further explores this.

Create the baseline or as-is model through a series of flowcharts showing major components of the business processes that govern collecting and managing crime incident data. You may append detailed information to each step to identify areas and issues that may be impacted by an IBR transition. Consider the life cycle of an incident report, both in terms of recording incident information and the technical environment in which the reports reside:

- How and where does the data flow? Does your agency collect it through paper reports, field-based reporting, and other mechanisms?
- Are the reports delayed because they must be manually entered into the system? In which system does a report originate and how or when does it get there?
- When and in what form is a report available for recall and use?
- Which staff have access to the data, and what function(s) do those staff perform?

- Who may edit an incident report? Are there any limitations which affect the agency's ability to produce UCR and crime statistics?

The following information provides additional guidance and examples of how this model may be created.

Checklist

- ✓ Identify and document the project sponsors, executive leadership, and governance structure.
 - ✓ Document the current as-is business process for collection of UCR data. Identify and document the current data collection process for officers, supervisors, investigators, analysts, and records staff.
 - ✓ Identify and document all relevant report writing and data release policies, along with agencies and personnel supported if operating multiple agencies within a single RMS.
 - ✓ Complete NIBRS readiness assessment and determine the ability of the RMS or other systems to collect and validate all of the NIBRS data elements. Identify capabilities to extract and submit NIBRS data.
 - ✓ Engage the agency's RMS or related IT services provider to accurately assess any needed software changes to enable conformance to state IBR reporting requirements through final certification as required by the state or FBI. Require the service provider to provide detailed cost estimates of these necessary services.
 - ✓ Document the workflow for the current UCR submission process, including staff responsibilities, UCR extraction, and report submission procedures. Identify follow-up quality control responsibilities and process for both state and FBI interactions.
 - ✓ Identify and document the technical environment of all data systems involved in UCR reporting. In most cases, a modern RMS will capture relevant data, but in some, multiple systems may be involved, such as agencies that use a separate property management system. Document the RMS manufacturer, product name, version, and instances deployed. Align system support requirements with other agency service management requirements.
 - ✓ Identify all user groups and organizations involved in collecting more detailed data on crimes known to LE, including victim services organizations, criminal justice advocacy groups, criminal justice professional organizations, local government and elected officials, and those committed to supporting data-driven policing.
 - ✓ Document the data repository that supports the production RMS. Include details such as database product, format and version, any data backups or data warehouse, security or accessibility limitations, and availability of a service bus to manage scheduled tasks.
-

Questions to Consider

- ☐ Do you understand how all users enter data into your RMS and how and why it is accessed?
- ☐ Are there redundant processes in place that do not add value to the system?
- ☐ Have you identified any gaps between your RMS as it currently operates and your state's IBR data requirements?
- ☐ Have you identified all aspects of your current RMS technical environment? This may include external databases where Computer-Aided Dispatch (CAD) or RMS data are archived. Do any elements limit your ability to produce an IBR submission to your state UCR Program?
- ☐ Can your RMS generate outputs in the format required by the state (such as XML)?

- ☐ Do you currently support a data repository that is used for Summary UCR submissions to the state?
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Resources

- ★ *NCS-X Readiness Assessment Guide*, www.iacp.org/ncsx, see “Agency Assessment Tools”
- ★ *Tech Brief: Using Principles of Service Management to Manage Justice Information Technology Services* (2012) SEARCH, The National Consortium for Justice Information and Statistics, www.search.org/files/pdf/TechBrief-ServiceManJusticeIT.pdf

Play 03—Design Your Future Way of Doing Business

“The key to creativity is to begin with the end in mind, with a vision and a blue print of the desired result.”

—Stephen Covey

 This step involves designing your agency’s ideal data flow. This enables you to identify the process required to meet your agency’s particular needs.



Once the current as-is and future operations are mapped, spend time (1) exploring how these changes impact your entire operation, (2) identifying the work needed to facilitate this transition, and (3) identifying the key affected stakeholders in your agency. For example, a technical system update is rarely a technology-only issue. These projects may have a positive or negative impact, on different areas of operation within an agency. This may include reporting policies, labor relations, personnel resources, budgets, training, and maintenance. Questions to consider in assessing your agency’s needs and how to meet them may be found in the bulleted sections below.

Proper planning for a successful project implementation includes identifying the potential impacts across your agency. Project managers (PMs) who routinely ignore this process tend to focus on the success of their specific part of the project rather than the outcome to the entire agency. With this limited view, an agency risks creating a scenario where the technical implementation is a success, yet the department judges the overall project a failure.

The outcome of this Play should be a document describing in detail how the processes and responsibilities change as an IBR focus is introduced. It is essential that this document is accepted and endorsed by the stakeholders, including those who have a role in the generation of IBR outcomes, from the field to the records unit to management. Further, this document is the logical place to acquaint stakeholders with specific forthcoming changes, and the implementation timeframe.

Checklist

- ✓ Identify and document the requirements of the proposed new system that will result from the transition to the collection of NIBRS data. This is the future state of your agency’s business capabilities and operations. Compare the to-be system to your current business model and note the differences or gaps. Identify and document changes to business processes impacted by this change, including officers, investigators, supervisors, and records, and administrative staff, including report approvals and data quality checkpoints. Identify IBR-related changes to any report writing and data release policies.
- ✓ Document changes to your current UCR submission process that will occur during the transition to an NIBRS certified submission, including changes to staff responsibilities and data extraction and report submission procedures. Identify adjustments within the quality control responsibilities and process for both state and FBI interactions. Determine formats for submitting data as permitted by the state UCR Program.
- ✓ Within your incident reporting technical environment, identify any restrictions, constraints, or systems that limit ability to effectively implement the NIBRS submission process. Ensure that your RMS software provider and technical support staff understand what is and is not possible

within your deployed systems, along with an assessment of the level of effort required to finish the IBR reporting process changes.

- ✓ Complete the gap analysis and determine the extent of the changes required to your current operation resulting from the move to collect and validate all of the NIBRS data elements.
- ✓ Consider how you will manage your pre-NIBRS legacy incident data after transitioning RMS to an IBR system. The benefits to migrating this information forward into the updated RMS include continuity of data analytics and a streamlined data management environment. Cons to this approach may include data migration efforts and associated costs, comparison differences between summary and IBR collected information, and database integrity concerns that may potentially corrupt reporting systems. Each RMS is different and agencies should consult their providers for best practices within their particular application.
- ✓ Identify major tasks needed to resolve each item noted and document issues and risks associated with the transition, including training requirements, technical constraints, or budgetary limitations. Finally, prioritize (or categorize into minor and major groupings) for planning purposes.
- ✓ Plan for mapping state statutes to the corresponding NIBRS offense code. Your state UCR Program may provide this translation table as part of its overall NIBRS transition effort for all NCS-X agencies.
- ✓ Ensure that your agency systems and personnel are committed to the use of standards.



Questions to Consider

- ☐ Where, within each system and process, will these NIBRS-driven changes change your current operations?
- ☐ What technical changes are needed to support NIBRS reporting? What changes will be needed to the system hardware, database applications, RMS software, or user-deployed tools like mobile data computers? Include requirements for system performance such as response time, throughput, and bandwidth.
- ☐ Have you identified all related agency functions affected by the transition to NIBRS, including changes to policies and training?
- ☐ Have you consulted with subject matter experts within your agency to identify changes driven by this NIBRS transition? Examples might include a police training commission representative or a policy analyst who might be seen as an expert in his or her field.



Resources


- ★ **Concept for Operations for Integrated Justice Information Sharing Version 1.0**, <http://www.nascio.org/Publications/ArtMID/485/ArticleID/262/Concept-for-Operations-for-Integrated-Justice-Information-Sharing-Version-10>
- ★ **Comprehensive Regional Information System Project Volume 2: Concept of Operations** (2007), Noblis (for the National Institute of Justice), <https://www.ncjrs.gov/pdffiles1/nij/grants/219378.pdf>
- ★ **Information Sharing Environment Common Profile Framework Description**, <http://project-interoperability.github.io/common-profile/>

- ★ **FBI NIBRS Information Exchange Package Documentation**), <https://www.fbi.gov/about-us/cjis/ucr/nibrs/nibrs-xml-iepd>
- ★ **FBI NIBRS Technical Specifications**, <https://www.fbi.gov/about-us/cjis/ucr/technical-specifications>
- ★ **FBI NIBRS User Manual (Version 1.0)**, <https://www.fbi.gov/about-us/cjis/ucr/nibrs/nibrs-user-manual>
- ★ **FBI Conversion of NIBRS Data to Summary Data**, <https://www.fbi.gov/about-us/cjis/ucr/conversion-of-nibrs-data-to-srs.pdf>
- ★ **National Information Exchange Model**, <http://www.niem.gov>
- ★ **Global Information Sharing Toolkit**, Bureau of Justice Assistance (BJA)—Justice Information Sharing, <https://it.ojp.gov/about-gist>

Play 04—Develop Your National Incident-Based Reporting System Transition Plan

“Planning without action is futile, action without planning is fatal.”

—Cornelius Fitchner

 Creating an IBR transition plan is an iterative process, involving multiple adjustments as you incorporate the NIBRS business rules and edit checks into your agency’s system. In the beginning, you will not know every task or detail needed for every step, but will rely on creating placeholders to which you will add further details as your project team become more informed and specific events approach. Do not let this lack of detail hold you back; plan for what you know and mark the gaps and risks for additional review and analysis. Openly communicate your plan to internal and external sponsors, stakeholders, and customers. Embrace their feedback, and consider their concerns. Prior to finalizing your plan, coordinate and share your IBR plan with your state UCR Program to ensure compatibility with their state repository and staffing availability.



Checklist

- ✓ Develop a plan and schedule for implementing your solution. Address areas within your agency affected by this transition, including gaps identified in Play 03. Within your project, break down each issue to the individual task, if possible. Where this is not possible, create placeholders for later detail planning. Allocate realistic time segments for each task or series of tasks. For simplicity, consider creating the plan in three distinct phases:
 - 1. Preliminary tasks
 - internal approvals
 - requirements definition
 - design process and procedures as required
 - contracting and procurement
 - technical build
 - software provider pretesting
 - 2. Implementation
 - institute process changes in reporting, report review, quality control
 - software install
 - testing and adjustments
 - training in new processes, procedures, software use for all participants
 - go live
 - 3. FBI or state program certification
 - refinement of the technical submission process
 - technical and policy or training adjustments
 - test data submissions
 - state UCR Program certification process with live data.
- ✓ Plan for the post-go-live data clean up with your multiple internal and external data consumers identified in Play 01.

- ✓ Perform resource allocation: assign people, responsibilities, and schedules to the appropriate tasks in the project plan. Include resources from other agency organizational segments, state UCR Program, and contractors as necessary. Be cognizant of availability and commitments. Coordinate regularly with your state UCR Program. Empower your resources to complete their tasks. Create a plan that allows for delegation and managing toward a successful outcome.
 - ✓ Document the appropriate decision-making structure within your project. Ensure an open communications plan is in place.
 - ✓ Create a risk-management plan that will manage to resolve each risk identified in your to-be modeling.
-



Questions to Consider

- ☐ Have you created a comprehensive plan that addresses all known issues?
 - ☐ Have you accurately identified and assigned the resources needed within your plan to ensure a successful project?
 - ☐ Through your planning exercise, are you prepared to support open communications and risk management processes? How will you manage these processes and provide information to your stakeholders?
 - ☐ Have you clearly defined your project decision-making process within your project and agency?
 - ☐ Within your project plan, are there any choke points that will impede ability to complete your project on time?
-



Resources

- ★ ***Multi-agency Working and Information Sharing Project*** (2013), United Kingdom Home Office, https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/225012/MASH_Product.pdf
- Law Enforcement Tech Guide—How to Plan, Purchase, and Manage Technology (successfully!)*** (2002), SEARCH, The National Consortium for Justice Information and Statistics, <http://www.search.org/files/pdf/TECHGUIDE.pdf>

Play 05—Identify Critical Sponsors and Gain Their Support



Obtaining support, especially resources and funding, to implement your agency's IBR program may be one of the most significant obstacles to overcome. Identifying key sponsors who support this mission-critical endeavor and are willing to help provide resources is vital to project success. You may find sponsors both inside a police agency and within municipal or state-level governments. Examples may include a member of command staff, a city budget director, or a state chief information officer. Engage key sponsors in a collaborative process to develop a resource development strategy built on a strong and well-defined business case that demonstrates the mission problem that a transition to IBR will solve.

While described as fifth in order for this *Playbook*, this particular Play is iterative. The earlier potential sponsors or advocates are identified and brought into the process, the greater the potential for success. Some level of sponsorship is generally essential when beginning the IBR transition process.

Checklist

- ✓ Identify the diverse set of user groups and organizations that care about collecting more detailed data on crimes known to LE, including victim services organizations, criminal justice advocacy groups, criminal justice professional organizations, local government and elected officials, and those committed to supporting data-driven policing.
- ✓ Gather small groups of stakeholders who care about improving crime reporting.
- ✓ Develop a clear cost plan, including interim milestones.
- ✓ Identify and pursue all potential funding options from state and federal sources.
- ✓ Develop a phased funding plan to share with potential sponsors.

Questions to Consider

- ☐ Have you accurately identified potential stakeholders and defined their roles in a statewide IBR system?
- ☐ Which stakeholders are also potential sponsors? Which stakeholders may serve as resources for identifying potential sponsors?
- ☐ What is the start-up cost in terms of budget and resources?
- ☐ Have you developed an approach for critical sponsor support that clearly defines the return on investment?
- ☐ How will you document critical sponsor support commitments (e.g., memoranda of understanding)?




Resources

- ★ ***Funding Sources and Programs***, BJA–Justice Information Sharing, <https://it.ojp.gov/implementation/funding/sources>
- ★ ***Multi-agency Working and Information Sharing Project*** (2013), United Kingdom Home Office, https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/225012/MASH_Product.pdf
- ★ ***Funding Awarded for Enhancing Public Safety Through Justice Information Sharing Implementation***, <http://www.ncja.org/advancing-criminal-JIS-TTA/jis-funding-award-announcement>

Play 06—Secure Project Funding

“The budget evolved from a management tool into an obstacle to management.”

—Charles Edwards

 Establishing a realistic budget and identifying funding sources may be another challenging aspect to implementing your NIBRS project. All levels of government are consistently looking for cost-saving initiatives, and negotiating extra dollars for an operational system may be difficult. These additional funding requests often end up on a budget competition list where financial decision makers have many more requests than they may be able to support. This reality drives the need to present the compelling business case initially mentioned in Play 01 and continued to build by your assessments in Plays 02 and 03. You must be able to describe the benefits that these IBR changes will have across your community and demonstrating your agency’s ability to be successful. For example, some agencies have found that moving to NIBRS resulted in a decreased reliance on resources spent cleaning incident data, and increased timeliness of its data for use in analysis. While every agency’s circumstance is unique, the checklists and questions that follow below should be applicable to most agencies.



Checklist

- ✓ Prepare a comprehensive project budget.
- ✓ Identify available funding opportunities.
- ✓ Work with your agency budget office on an acceptable funding amount, source, and schedule.
- ✓ Be prepared to align the various phases of your project with fiscal year timing and constraints.

Questions to Consider

- ☐ Have you included all direct and indirect costs to your agency in your budget?
- ☐ Have you specifically addressed costs associated with:
 - project management
 - software development costs
 - programmer resources
 - testing resources
 - training resources
 - state or FBI certification process
 - data migration
 - software development costs
 - requirements reconciliation
 - testing
 - implementation costs
 - costs to change processes and procedures
 - training
 - hardware, software, and system maintenance

- outreach and communications costs
 - public relations and education
 - community/business leaders
 - City/county management
 - training and system deployment
 - records and field personnel
 - schedules and overtime?
-
- ☐ Are general, forfeiture, or specialized department funds available for this project?
 - ☐ Can you use a capital improvement program budget process to fund your NIBRS transition?
 - ☐ Does your municipality or county offer any form of technology innovation internal financing program?
 - ☐ Does your agency sponsor a nonprofit police foundation that may assist with public or private partnership funding arrangements?
 - ☐ Are there potential long-term cost savings in automating manual processes?
 - ☐ Are there federal or state grant funding opportunities that you may take advantage of?
-




Resources

- ★ ***Funding Sources and Programs***, BJA–Justice Information Sharing, <https://it.ojp.gov/implementation/funding/sources>
- ★ ***Funding Awarded for Enhancing Public Safety Through Justice Information Sharing Implementation***, <http://www.ncja.org/advancing-criminal-JIS-TTA/jis-funding-award-announcement>

Play 07—Build Your Project Team

“Organization charts and fancy titles count for next to nothing.”

—Colin Powell

 Nearly every police agency moving to a NIBRS reporting system will experience its own unique challenges during system deployment. Some agencies that already have a robust and mature RMS may see very little impact to their system and processes, as expanded edit and reporting requirements are enabled. Meanwhile, other agencies may find the transition to a new NIBRS-compliant RMS to be a dramatic change from their usual daily operations. A successful deployment is best ensured by staffing your team appropriately to execute your plan effectively.



Building a successful IBR reporting program requires support from across your agency. The roles will involve appointing a team capable of handling the disparate tasks involved in this change, including information technology, field operations, investigative services, and training, in addition to a traditional records staff. It is important to identify a single PM with the authority to make critical decisions on behalf of your agency. In-house technical resources and software provider support will also be involved and must be actively coordinated within your project. Engage your project team early in the process to help ensure success.

This Play is another example of the iterative process involved in moving toward IBR. The initial team will need to concentrate early in the process to determine the precise process changes you will need to ensure that the full incident data are collected in the field, validated through the appropriate edit rules, and prepared for submission to the state.

Checklist

- ✓ Identify a PM who has project management and technical experience to assess alternatives and weigh tradeoffs in design, operations, software development, implementation, and procurement.
- ✓ Identify a technical lead responsible for facilitating all changes needed to support the NIBRS transition.
- ✓ Identify a business lead who has detailed knowledge of the operation of your current RMS and the related processes such as investigations, crime analysis, and crime statistics reporting process.
- ✓ Identify core RMS users as subject matter experts from throughout the agency to support the development and test processes.
- ✓ Coordinate user training with the appropriate resources available to your agency.

Questions to Consider

- ☐ Does your PM have the authority necessary to make decisions and assign tasks as necessary?
- ☐ Does your PM understand the limits and capabilities of his or her role within the project?
- ☐ Does your PM understand the executive decision-making structure of this project?
- ☐ Does your PM have the right connections in your procurement, budget, and agency counsel?
- ☐ What organizational changes have been made (or need to be made) to ensure the PM has sufficient authority over and support for the project?

- ☐ What technical skills are available in-house and what skills are missing?
 - ☐ What are the options for filling gaps in skills on the team (e.g., acquisitions, training)?
 - ☐ What primary and secondary roles will you delegate to your RMS software provider to provide?
-




Resources

- ★ *Project Management Resources*, Project Management Institute, <http://www.pmi.org/>
- ★ *Manifesto for Agile Software Development*, <http://www.agilemanifesto.org>

Play 08—Procure Necessary Technical Components

“There is no such thing as scope creep, only scope gallop.”

—Cornelius Fichtner

 Balancing the requirements of local procurement processes with the desire to ensure your project’s success by hiring a capable software provider may add additional pressures to an already difficult process. You may best mitigate these issues by developing a complete set of requirements and proscribed outcomes. Letting this documentation drive the procurement method and selection process ensures the overall integrity of your efforts and reduces the chance of burdensome challenges that may delay your contracting process. Engage your procurement specialist early in the planning process to ensure they understand how a successful project outcome is defined.



Checklist

- ✓ Ensure that all requirements have been aggregated into the requirements document, including workload and volume estimates, and use cases.
- ✓ Ensure that the use of standards is included in the requirements.
- ✓ Consult with your state UCR Program to ensure that all NIBRS and state-level requirements are identified.
- ✓ Within the constraints of your agency’s procurement process and policies, determine the most appropriate method for obtaining the technical and personnel resources needed to implement your project.
- ✓ Consider using a contract amendment with an existing RMS maintenance contract. Otherwise, in light of your budget, plan, and schedule, decide if a competitive, sole-source, or other procurement method provides the best opportunity for a successful project outcome.
- ✓ Contact other agencies regarding their experience with your software provider to identify any outstanding issues or challenges

Questions to Consider

- ☐ Has your state UCR Program published mandatory IBR fields and accompanying state offense code translation tables that you may reference in your procurement process?
- ☐ Which requirements are most critical in the transition to your NIBRS RMS?
- ☐ Can you take advantage of the experiences of other agencies that have already completed similar work? Can you bridge their contract?

Resources

- ★ *IJIS Institute Pre-RFP Toolkit (Third Edition)*, http://www.ijis.org/?page=PreRFP_Toolkit
- ★ *TechFAR Handbook*, <https://playbook.cio.gov/techfar/>, highlights the flexibilities in the Federal Acquisition Regulation that may help agencies implement plays from the *Digital Services Playbook*—<http://playbook.cio.gov/>—that would be accomplished with acquisition support, with


a particular focus on how to use contractors to support an iterative, customer-driven software development process

- ★ American Probation and Parole Association (APPA) ***Community Corrections Automated Case Management Procurement Guide with Bid Specifications***, Matz, A. K. (2012), APPA and Council of State Governments, <https://www.appa-net.org/eweb/docs/APPA/pubs/Procurement-Guide.pdf>
- ★ ***Request for Proposal Template for a Technological Solution***, Companion to the *Community Corrections Automated Case Management Procurement Guide with Bid Specifications* developed by the APPA, https://www.appa-net.org/eweb/docs/APPA/pubs/RFPTemplate_Specifications.docx
- ★ ***Functional Standards Development for Automated Case Management Systems for Probation*** (2003), APPA (for BJA), <https://www.appa-net.org/eweb/docs/appa/pubs/FSDACMS.pdf>
- ★ **Procurement Innovation Resources**, IJIS Institute, http://www.ijis.org/?page=Procurement_Resource
- ★ ***Strategies for Procurement Innovation and Reform*** (2013), IJIS Institute Procurement Task Force, http://c.ymcdn.com/sites/ijis.site-ym.com/resource/resmgr/Docs/procurement_report.pdf
- ★ ***Myth-Busting 2: Addressing Misconceptions and Further Improving Communication During the Acquisition Process***, Office of Management and Budget (OMB), http://www.gsa.gov/graphics/staffoffices/OFPP_Myth-Busting2.pdf
- ★ ***Information Sharing Environment Information Interoperability Framework***, http://ise.gov/sites/default/files/FINAL%20-%20ISE_I2F_v0%205.pdf

Play 09—Deliver and Test Technical Systems

“Testing proves the presence of bugs but not their absence.”

—Woody Williams

 Delivering your NIBRS project in a coordinated and controlled manner will have a large impact on the overall success of your project and the level of user acceptance to the changes being implemented. Non-LE municipal or county technology departments often control hardware purchases and installation, and their resources, policies and schedules may introduce delays into your delivery schedule. You must manage hardware requirements in concert with software provider software enhancements and agency policy controls.



If your system allows, consider an iterative deployment across separate testing and training environments prior to a deployment to the production RMS. Best practice suggests staging your systems on non-production environments to ensure that they function properly, before introducing them to the broader technical environment. This allows for testing and evaluation of the impacts of your changes without impacting the users' ongoing RMS work. Testing should be both scenario based (e.g., may a report be successfully completed by an officer) and requirements driven (e.g., are all the required data fields and edit checks included in that process). It should address the entire NIBRS workflow from initial entry of data elements and operation of edit checks through the production of the NIBRS report submission files. Using real reports whenever possible helps verify that all data are captured and identify possible training (gaps in what was being reported and what should now be reported). Issues should be documented, prioritized, and corrected. Maintaining a controlled testing program, including regression testing of identified issues, is essential to a smooth operational transition.

Checklist

- ✓ Secure the necessary technical and operational support to implement your new system.
- ✓ Ensure coordination between software provider and in-house technical support and security staff.
- ✓ Structure the installations following a well-documented, controlled, and managed process.
- ✓ Make sure all aspects of your software provider contract are addressed during the installation process.
- ✓ Use a change order process to address any contract omissions or technical additions.
- ✓ Verify a complete delivery through disciplined testing prior to system acceptance.

Questions to Consider


- ☐ Have you staffed your testing process with the appropriate technical and operational resources, including field officers to test usability?
- ☐ Are your routine technical support staff prepared to provide the necessary level of input and support when needed?
- ☐ Have you secured and installed all hardware resources as required prior to your software installations?
- ☐ Are you managing all of the issues identified within the testing program to a successful outcome?

- ☐ Are you managing the accompanying policy-related issues in parallel with the technical deployment?
- ☐ Will any policy-related limitations (labor or contractual) impact your system delivery?

Play 10—Plan for Training

“It is always easier to talk about change than to make it.”

—Alvin Toffler

 The importance of planning for and deploying training cannot be overstated. PMs sometimes manage projects from a purely technical system perspective. The unintended result is that it diminishes the resources and thought focused on how to best deliver training to the users.

A successful transition to a NIBRS reporting system will require appropriate training to all system users. You may need additional training on technical resources to ensure the integrity of the NIBRS data submissions and overall system reliability. We recommend separate training sessions focused on each group’s specific needs. There is no standard formula for the amount of training required to move to a NIBRS reporting agency. Each agency must determine the impact of this change on stakeholder groups and provide training that targets those needs. Where the impact of change in operations is minimal, an online training method may be effective. In areas where you expect changes to be more significant, you may need in-person or small group sessions. Ultimately, the design and success of the training program you choose to implement will determine the success of your users, and, therefore, your success in delivering your project.



Checklist

- ✓ Create a training plan that addresses the targeted needs of each group of system users, including sworn officers; field supervisors; records staff; UCR, NIBRS, and Cleary Act personnel; crime analysts; technical staff; and appropriate agency administrative staff who use crime data and statistics.
- ✓ Create appropriate content and delivery methods for each group.
- ✓ Align training delivery with the roll out of the new system. If you deploy the system incrementally, then train only those users working in the section or unit that will be implemented next. If you are going to roll out the system all at once, ensure that all users receive training before the transition and be prepared to address multiple issues during the initial phase of implementation.
- ✓ Take advantage of training offered by the FBI related to NIBRS and by the state UCR Program for the IBR requirements. Ensure that a core project team has undertaken such training and is knowledgeable in NIBRS or IBR requirements and counting rules.

Questions to Consider


- ☐ Do you have a training plan that will effectively transition all users to the new NIBRS reporting process?
- ☐ Does your training schedule align with the implementation of the new system?
- ☐ Have you determined the proper method and personnel to deliver each segment of the training?
- ☐ If you are acquiring a software provider-supplied software solution, does the software provider provide training materials and resources?

- ☐ Will your agency combine your NIBRS training with standard, ongoing training? Is this the best approach for your project?
- ☐ Have you reviewed the training that other agencies have delivered for similar projects?
- ☐ Does your agency have a dedicated training unit? Will they assist you with this portion of your project?

Play 11—Implement Changes

“The P in PM is as much about ‘people management’ as it is about ‘project management.’”

—Cornelius Fichtner

 After the development, testing, and training are complete, your NIBRS reporting system is basically in place and ready to go. Before flipping the switch, pause to consider any additional practical and logistical requirements that would be instrumental to a successful implementation. For example, have you updated the interface to your crime analysis program to include the additional IBR elements?



Coordinate with your groups of internal users to ensure they have the content and materials required to effectively conduct their daily business. For example, budget analysts may require additional assistance translating IBR data into their traditional workflow. Further, your internal UCR Program should coordinate with the state UCR Program for NIBRS certification in coordination with your roll out. You may find additional information about NIBRS certification in Play 12.

A critical component of post-implementation is a support plan that ensures users will have resources available to answer questions and provide additional training, if required. Some version of a help desk or power user identification is a valuable tool to ensure acceptance and use of the system.

Checklist

- ✓ Develop a service management plan and agreement for physical equipment and software maintenance.
- ✓ Confirm your operational transition schedule, whether you will employ a staged rollout across your agency or perform a simultaneous department-wide switchover.
- ✓ Address the appropriate stakeholders impacted by the change to crime statistic information. Include executive personnel, department planners, crime analysts, and budgetary personnel.
- ✓ Inform key stakeholders outside of the agency, including government officials, peer state organizations that may be impacted, and relevant advocacy groups.
- ✓ Ensure that agency district personnel have received appropriate outreach materials to help them communicate the transition effort to their constituencies.

Questions to Consider

- ☐ Who may be most affected by your NIBRS transition project? Have they been kept informed on the status of the project?
- ☐ Have you weighed the impact of different implementation strategies and assessed the risks and rewards of each option? Have you selected the option that best supports your project, records, and technical staff or field users? Is there a hybrid approach you might consider that will ensure your project success and ease the impact of the transition to your users?
- ☐ Are all involved parties aware of the next steps and what each of them must do?
- ☐ Are stakeholders actively supporting your NIBRS transition effort?

- ☐ Have elected officials been briefed on the status of this project?
- ☐ Have members of the media been briefed on the status of this project?
- ☐ Has the general public been sufficiently informed about this project and what the transition to a state IBR system means for crime reporting in local jurisdictions?

Play 12—Seek National Incident-Based Reporting System Certification

“It is good to have an end to journey toward; but it is the journey that matters, in the end.”

—Ursula K. Le Guin



The true measure of your project’s success will be when your state UCR Program (or the FBI) approves your monthly NIBRS data submission and officially certifies your department as being state IBR- or NIBRS-compliant. The state UCR Program (or FBI) will provide a process for achieving this certification, including the interim reporting requirements while it is in process.



By thoughtfully considering all Plays in this *Playbook* (and successfully implementing your NIBRS-compliant system), you will be well prepared to enter the certification process, achieve an acceptable error rate, and move to a quick and successful outcome.



Checklist

- ✓ Determine whether or not your RMS software provider provides a precertification tool that allows you to pretest your data prior to official submission.
- ✓ Confirm that your data submissions have been produced in accordance with the NIBRS FBI requirements as modified by your state UCR Program.
- ✓ Be prepared to submit multiple datasets for testing to your state UCR Program and allocate resources to respond with technical adjustments within the RMS or policy adjustments in your business processes to resolve outstanding errors.
- ✓ Ensure that you have adequately trained your records staff and field personnel in IBR program offense scoring and classification and data validation rules.
- ✓ Coordinate your certification process with your state UCR Program. Establish and maintain a strong relationship based on open communications.



Questions to Consider

- ☐ Which data quality requirements has your state UCR Program defined for acceptable error rates?
- ☐ Has your state UCR Program thoroughly defined the appropriate data collection and submission process and requirements?
- ☐ Are you relying on automated edit processes to ensure NIBRS compliance or are you performing some additional manual review prior to submission?
- ☐ Is your state UCR Program ready to receive your NIBRS data files or do you need to submit both UCR and NIBRS data files for the immediate future?




Resources

- ★ **FBI Processes and Procedures of NIBRS Certification**, <https://www.fbi.gov/about-us/cjis/ucr/processes-and-procedures-of-nibrs-certification>

Play 13—Debrief Internally and Share Your Experiences



 Following your agency's transition to IBR, convene stakeholders and debrief them about the transition experience. Every IBR system implementation may provide lessons learned and best practices that benefit the greater policing community. Sharing IBR implementation successes and failures is critical to the nationwide initiative to move toward the NIBRS. Does the implementation of your IBR system offer an opportunity to restructure the way your records staff functions? Are your staff focusing more time on data analysis, where previously performing clerical data cleaning functions? Contributing your experiences to others, especially your state UCR Program, will help others build their state IBR capabilities.

Checklist

- ✓ Document successes and failures, as both are valuable to your future projects and IBR projects of the greater community of interest.
- ✓ Share your experiences, best practices, and documentation as allowable with relevant community of interest organizations (i.e., standards development organizations, industry organizations, government repositories).
- ✓ Contribute specific information about standard use to the organizations with ownership of the standards used in your IBR system.
- ✓ Consider compliance certification, which will document the success of your IBR system and contribute to the larger body of knowledge in the process.
- ✓ Contribute IEPDs to the IEPD Clearinghouse.
- ✓ When appropriate, publish online any sharable source code for projects or components.
- ✓ When appropriate, publicly share your development process and progress.
- ✓ Consider presenting your findings at conferences and educational summits within appropriate communities of interest.

Questions to Consider

- ☐ Do I have useful information to share with others?
- ☐ How may the team get involved in organizations within the community of interest?
- ☐ Where do I go to share my lessons learned and best practices?
- ☐ How do we share our success stories with our stakeholder and user communities?
- ☐ What were the failures? How did we address them to ensure corrective actions were put in place within the current system and to establish preventive measures against future failures? What did we learn from failures that is valuable to future projects or the greater community of interest?


Resources

- ★ **Standards Coordinating Council**, <http://www.standardscoordination.org>
- ★ Relevant standards development organizations:

- **Open Geospatial Consortium Standards**, <http://www.opengeospatial.org/standards>
- **Object Management Group**, <http://www.omg.org/>
- **Organization for the Advancement of Structured Information Standards**, a nonprofit consortium that drives the development, convergence, and adoption of open standards for the global information society, <https://www.oasis-open.org/>
- **National Institute of Standards and Technology**, <http://www.nist.gov/>
- **International Organization for Standardization**, <http://www.iso.org/iso/home/standards.htm>
- ★ **IJIS Institute**, <http://www.ijis.org>
- ★ **IEPD Clearinghouse**, IEPDs that have been submitted by individuals and organizations who have implemented the Global Justice XML Data Model and the National Information Exchange Model, <http://iepd.custhelp.com/>
- ★ **National Information Exchange Model**, <http://www.niem.gov>
- ★ **Global Information Sharing Toolkit**, BJA–Justice Information Sharing, <https://it.ojp.gov/about-gist>
- ★ **Information Sharing Environment Information Interoperability Framework**, http://ise.gov/sites/default/files/FINAL%20-%20ISE_I2F_v0%205.pdf
- ★ **Relevant Practitioner Associations**
 - **IACP**
 - **PERF**
 - **Police Foundation**

Play 14—Measure and Monitor the Impact of Incident-Based Reporting on Your Department



 As your agency debriefs about the transition, it may be beneficial to measure the impact of implementing an IBR program. Measuring such programs is difficult, as the IBR program aims to repurpose data that is primarily useful to LE agencies in support of operational missions. However, agencies may find it useful to explore metrics that show the value of adopting the IBR protocols, including such measures as submission rejects, report quality, time saved in data entry, and analysis. A participatory, two-way communication mechanism should be in place to support discussion between all stakeholders, sponsors, and the public regarding the program success in meeting objectives.

Checklist

- ✓ Conduct customer satisfaction surveys on reports and products.
- ✓ Monitor data validation error rates.
- ✓ Track agency participation and report trends.
- ✓ Survey the satisfaction of agency employees that use the work products.
- ✓ Publish metrics internally and externally.
- ✓ Consider using an independent third party, such as an academic institution, to review metrics and results of the IBR implementation to ensure that the evaluation is accurate, unbiased, and neutral.


Questions to Consider

- ☐ What are the key metrics for the IBR system?
- ☐ How have these metrics performed over the life of the program?
- ☐ Which monitoring tools are in place?
- ☐ Which tools are in place to monitor or measure user behavior?
- ☐ How do you measure customer satisfaction?
- ☐ How are you reporting performance to the governance body and agency executives?
- ☐ Do policies and procedures adequately address safeguarding and privacy issues?

Play 15—After-Action Checklist

“A task is not done until it is done.”

—Louis Fried

 Committing to move your police department RMS to an IBR-compliant system acknowledges that your incident information has many uses and the data will live beyond the reporting of criminal activities and the prosecution of offenders in your community. By moving to NIBRS as the nationwide standard for reporting crime, we are accepting the ideas that these crime data points have relevance, meaning, and impact in all of our lives and that each police department has an obligation to support this model. A communications mechanism should be in place to report back to the stakeholders, sponsors, and the public regarding the program’s success in meeting this broader set of objectives.



Beyond this principle, there is a need to create a change management system that will accommodate the inevitable changes to the IBR standard (either state or FBI), the demands from advocacy groups and the public, and corrections identified by the internal stakeholders.

Checklist

- ✓ Ensure that your new NIBRS dataset aligns with those of other internal data users and systems, including dashboards, crime stat programs, annual reports, and crime analysis program interfaces.
- ✓ Make any necessary adjustments to your agencies open data portal to account for the additional information and level of detail available.
- ✓ Coordinate with your public information office and political liaison staff to ensure their customers are familiar with the concept of NIBRS data and how to use it properly.
- ✓ Conduct customer satisfaction surveys on reports and products.
- ✓ Monitor data validation error rates, and continue to update technology and department policy as required.
- ✓ Publish metrics internally and externally.
- ✓ Consider using an independent third party, such as an academic institution, to review metrics and results of the IBR implementation to ensure that the evaluation is accurate, unbiased, and neutral.
- ✓ Create a change management process and documentation.

Questions to Consider


- ☐ What are the key metrics derived from the IBR system?
- ☐ How will these metrics change over time?
- ☐ Which monitoring tools are in place?
- ☐ Which tools are in place to monitor or measure user behavior?
- ☐ How do you measure customer satisfaction?
- ☐ How are you reporting performance to the governance body and agency executives?
- ☐ Are policies and procedures adequately addressing security and privacy issues?
- ☐ Does your local NIBRS involve data that are open to the public? If so, how will you communicate this availability to the public and educate them on the use of the data?

- ☐ Is help available for data consumers?
- ☐ What tools and mechanisms are in place for collecting feedback?


Appendix A: *Playbook* Frequently Asked Questions

The following are frequently asked questions about the use and content of the *Playbook*. Have a question that's not already listed here? Send an email to ncsx@rti.org and we will address it promptly.


What types of agencies may use the *Playbook*?

 The *Playbook* is designed to support a LE agency's transition from the UCR SRS to the NIBRS reporting system. Recognizing that LE agencies exist in a variety of technical and operational states, we designed these Plays to have different levels of relevance for each, yet at the same time provide a level of assistance to all.

Who may use the *Playbook*?


 Technical practitioners, implementers, mid-level managers, PMs, executives and high-level leadership, representatives from industry, and stakeholders of developed systems may all use the information in this *Playbook*.

Do the Plays in the *Playbook* have to be used in order?

 We designed the Plays to walk the entire life cycle of a successful NIBRS implementation project. However, we recognize that each agency may follow them in a different sequence depending on their unique circumstance or requirements. The *Playbook* is intended to allow users at any point in a process to pick up the document, identify where they are in the process, and move forward. Two important things to consider are:


1. When starting at a point past Play 01, the Plays before the point of entry still have relevance to the development effort. We generally do not recommend skipping over prior Plays completely. Evaluate and determine if a Play, or some of its elements, may be used to improve *your* version of the process.
 2. The *Playbook* is iterative. You may need to revisit a Play after progress is made in the development effort. By having a phased-development approach, you may reconsider past Plays as each subsequent milestone is met. Also, some Plays may extend throughout the entire project life cycle.
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Are all the Plays in the *Playbook* mandatory?


 No, the *Playbook* is meant to be flexible for many types of projects, people, and agencies. There is helpful advice in every Play that may be useful to consider, even in skipped Plays.

While the Plays are not all mandatory, we do not recommend skipping Plays. The *Playbook* is designed for maximum success, and Plays are interconnected and sequenced in subtle ways. Skipping one might negatively affect another. For example, choosing to skip a Play that recommends establishing an implementation plan could hinder success of subsequent Plays. We designed the *Playbook* with success in mind, and each Play moves the project toward success.


What is the benefit of engaging the end user in the development of an IBR System?

 The software and systems development industry has realized the benefits of engaging users and involving them in decision-making throughout the development process. This methodology contrasts traditional systems' development approaches (i.e., waterfall). Engaging stakeholders in the development life cycle may expedite progress and increase the likelihood of success and utility of the final solution for the user community. Experience has proven that routine user engagement, both early and often, may eliminate do-overs, saving both time and money.


We cannot get a key stakeholder to engage with the team. Can we move forward?

 Yes. No single organization or stakeholder group should constrain progress towards creating an IBR system. The system's design and implementation should benefit all stakeholders. Stakeholders who are reluctant to engage early in the project may be swayed when you demonstrate and communicate progress and participation.

Who should evaluate the results of the IBR program?

 It is best to engage an independent research organization, such as an academic institution, to ensure the data produced from the IBR system are accurate, neutral, and unbiased.


Are there ways to overcome the procurement obstacles to implementing an IBR system?

 Yes, identifying and evaluating alternative procurement options may improve your ability to implement systems in a timely and cost-efficient way. We designed Procurement Play 08 with this in mind, and following the checklist, Questions to Consider, and Resources may help you with this challenge.

At the federal level, the OMB attempted to dispel some of the common myths regarding interaction between government and industry in a “myth-busting” memo. We included this memo as a resource in the Procurement Play, and you may also find it online at:

- Myth-Busting 2: Addressing Misconceptions and Further Improving Communication during the Acquisition Process, OMB, http://www.gsa.gov/graphics/staffoffices/OFPP_Myth-Busting2.pdf
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We are up against a serious lack of funding that threatens the entire project. What can we do?

 Competing priorities and tightening budgets are a continual concern for any project. Play 06, Secure Project Funding, provides advice on structuring support for the development of IBR systems. Here are a few considerations that may help secure support:

- Build a solid business case for moving to an IBR data collection and NIBRS reporting. With IBR data, agencies may track offense trends that managers may use more effectively in defining crime prevention and response strategies.

- Align your mission to organizational priorities. Demonstrate how your mission aligns with the priorities of the governing body or other agencies in your state. Showcase the potential benefits of information generated by IBR: supports the needs of many constituencies, provides a better understanding of crime and criminal behavior, and gives empirical support to budget requests that aid in the evaluation of tactical and strategic programs and practices.
 - Consider combining grants in various programs to fund system integration.
 - Multi-agency and regional information sharing or consortiums may solicit funding across resource streams. Broadening the project's scope may generate more interest and support. Consider aligning your project with others to take advantage of increased interest. Consider developing a multi-agency approach to an RMS.
 - Adopting national standards and considering innovative technology solutions may improve the probability of securing funding and leverage efficiencies in implementation.
 - Choose your team members wisely, ensuring they have the correct skillset to achieve project success. Identify a champion for the effort who will serve as the project spokesperson. Team members who may advocate for and deliver project results complement any project team.
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How may I suggest changes to the Plays based on my experiences?



Provide feedback regarding the *Playbook*, including suggestions for changes to the content and recommended resources, to ncsx@rti.org. We would also like to hear feedback on your experience using the *Playbook* in your projects!