NCS-X NIBRS Readiness Assessment Form

*for Agencies with an In-House/Custom RMS*

The intent of this readiness assessment is to gain an understanding of the capabilities and barriers that exist in your agency with regards to collecting and reporting crime incident data according to the FBI’s National Incident Based Reporting System (NIBRS) standard. Please note that some states have additional incident-based reporting requirements beyond the Federal NIBRS standard presented in this self-assessment tool. Please check with your state’s Uniform Crime Reporting (UCR) program to determine what, if any, additional incident-based reporting requirements exist for your state. If you do not know how to contact your state’s UCR Program, contact FBI CJIS by email at crimestatsinfo@ic.fbi.gov or phone at 304.625.4830 to obtain this information.

The following questions are intended to help identify and understand the existing system(s) that would be used by your agency to capture and report NIBRS data. These systems could include your Records Management System (RMS), a field-based data entry system, or a computer aided dispatch (CAD) system. Answers to these questions will assist the NCS-X team, in conjunction with your agency, in developing a general cost estimate for implementing NIBRS reporting in your agency which will also help BJS understand where investments need to be made to meet reporting requirements for the agencies included in the NCS-X sample.

**Instructions:** Please answer questions to the best of your ability. If any question is not applicable to the particular system, please write “N/A”.

You should complete this assessment form based upon the operation and structure of your Agency’s current RMS, unless you are in the process of switching to a new RMS (e.g., an RFP has been released and a contract signed or close to being signed and implementation will occur within the next 18 months) in which case please complete this assessment form based on the new RMS. If you are in process of creating an RFP for a new RMS we encourage you to include the information within this assessment form in your technical requirements to ensure the NIBRS standard is included in the RFP. If you have any questions about which RMS to base your answers, or wish to discuss your agency’s specific situation, please contact the NCS-X Implementation Team (ncsx@rti.org; 800.344.1389).

**Agency Name:**

**Respondent(s):**

**Date:**

# Overview

This section asks about your agency, the name of the system being assessed, and the primary functions and users of the system.

1. How large is your agency?
	1. # of sworn personnel
	2. # of civilian personnel
2. What is the name of the existing Records Management System (RMS) (henceforth ‘the system’)?
3. What are the primary functions of the system (e.g., manage and organize your crime incident data; but do you also have field-based reporting, office-based data entry, crime mapping, data analytics, etc.)?
4. Who are the system users (e.g., officers, supervisory personnel, investigators, records staff, crime analysts, etc.)?
5. Is this system used by any other agencies for their crime incident reporting (i.e., a shared system)? If so, which agency owns the system?
6. Describe how reports are currently reviewed to produce summary UCR submissions. Examples include, but are not limited to:
	1. Records staff reviews each report individually to compile summary UCR statistics.
	2. Supervisors approve reports with minimal additional review from records staff.
	3. RMS system produces summary UCR statistics with minimal staff intervention.
7. Please indicate your RMS’ ability to collect the following information

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| --- | --- |
| **NIBRS Standard Requirement** | **Does Your Agency Currently Do This, or Is It Able To Do This?** |
| Able to collect information about all offenses in an incident |  |
| Detailed offense code assigned to each offense in an incident |  |
| Demographic information stored for each victim in an incident |  |
| Victim injury stored for each victim in an incident |  |
| Demographic information stored for each known offender in an incident |  |
| Relationship between each victim and offender stored for all offenses in an incident |  |
| Track multiple clearances |  |
| Track whether an incident was exceptionally cleared |  |
| Record and store exceptional clearance date |  |

1. Please review the NIBRS data elements in the table below to determine if and how the system collects and stores each NIBRS element. If you have any questions about any of these data elements, please refer to the NIBRS user manual available at <http://www.fbi.gov/about-us/cjis/ucr/nibrs/nibrs-user-manual> which describes each data element in detail.

| **Data Element #** | **Description** | **NIBRS Code Values** | **Are data currently collected? (Y/N) Or can the element be derived from what you currently collect? (Yes-Derived)** | **Data Element Notes** | **Agency Comments** |
| --- | --- | --- | --- | --- | --- |
| 1  | ORI | 0-9, A-Z |  |  |  |
| 2  | Incident Number | 0-9, A-Z |  |  |  |
| 2A  | Cargo Theft | Y/N |  |  |  |
| 3  | Incident Date  | YYYYMMDD |  |  |  |
| 4  | Cleared Exceptionally | A = Death of Offender.B = Prosecution Declined (by the prosecutor for other than lack of probable cause).C = In Custody of Other Jurisdiction.D = Victim Refused to Cooperate (in the prosecution).E = Juvenile/No Custody (the handling of a juvenile without taking him/her into custody, but rather by oral or written notice given to the parents or legal guardian in a case involving a minor offense, such as petty larceny).N = Not Applicable (not cleared exceptionally) |  |  |  |
| 5  | Exceptional Clearance Date | YYYYMMDD |  |  |  |
| 6  | UCR Offense Code  | 3-Character Alphanumeric |  |  |  |
| 7  | Offense Attempted/Completed | A = AttemptedC = Completed |  |  |  |
| 8  | Offender Suspected of Using | A = AlcoholC = Computer EquipmentD = Drugs/NarcoticsN = Not Applicable |  |  |  |
| 8A  | Bias Motivation | 2 character numeric |  |  |  |
| 9  | Location Type  | 2 character numeric |  | The list of location types is available at the link at the top of this table. Many states capture additional location codes. If your state collects a super-set of the NIBRS values, please indicate “derived” in the previous column.  |  |
| 10  | Number of Premises Entered | Mandatory when Data Element 6 (UCR Offense Code) is 220 = Burglary/Breaking & Entering and Data Element 9 (Location Type) is 14 = Hotel/Motel/Etc. or 19 = Rental Storage Facility. |  | This is a conditionally required data element that is rarely collected unless an agency has converted to NIBRS reporting. |  |
| 11  | Method of Entry  | F = ForceN = No Force |  |  |  |
| 12  | Type Criminal Activity/Gang Information  | B = Buying/ReceivingC = Cultivating/Manufacturing/Publishing (i.e., production of any type)D = Distributing/SellingE = Exploiting Children0 = Operating/Promoting/ AssistingP = Possessing/ConcealingT = Transporting/Transmitting/HaulingU = Using/ConsumingGang InformationJ = Juvenile GangG = Other GangN = None/Unknown |  | This is a conditionally required data element that is rarely collected unless an agency has converted to NIBRS reporting. |  |
| 13  | Type Weapon/Force Involved  | 11 = Firearm12 = Handgun13 = Rifle14 = Shotgun15 = Other Firearm20 = Knife/Cutting instrument30 = Blunt Object35 = Motor Vehicle40 = Personal Weapons50 = Poison60 = Explosives65 = Fire/Incendiary Device70 = Drugs/Narcotics/Sleeping Pills85 = Asphyxiation90 = Other95 = Unknown99 = None |  |  |  |
| 14  | Type Property Loss/Etc.  | 1 =None2 = Burned (includes damage caused in fighting the fire)3 = Counterfeited/Forged4 = Destroyed/Damaged/Vandalized5 =Recovered (to impound property that was previously stolen)6 = Seized (to impound property that was not previously stolen)7 = Stolen/Etc. (includes bribed, defrauded, embezzled, extorted, ransomed, robbed, etc.)8 =Unknown |  |  |  |
| 15  | Property Description  | 2-Character Numeric |  |  |  |
| 16  | Value of Property | $0-$999,999,999 |  |  |  |
| 17  | Date Recovered | YYYYMMDD |  |  |  |
| 18  | Number of Stolen Motor Vehicles.  | 2-Character Numeric |  |  |  |
| 19  | Number of Recovered Motor Vehicles  | 2-Character Numeric |  |  |  |
| 20  | Suspected Drug Type | A = Crack CocaineB = Cocaine (All forms except Crack)C =HashishD =HeroinE = MarijuanaF = MorphineG = OpiumH = Other NarcoticsI =LSDJ =PCPK = Other HallucinogensL = Amphetamines/MethamphetaminesM = Other StimulantsN = Barbiturates0 = Other DepressantsP = Other DrugsU = Unknown Drug TypeX = Over 3 Drug Types |  | Many states capture additional suspected drug types. If your state collects a super-set of the NIBRS values, please indicate “derived” in the previous column. |  |
| 21  | Estimated Drug Quantity | 12-Character Numeric |  | This is a conditionally required data element that typically captured in the narrative unless an agency has converted to NIBRS reporting. If your system does not have a data element for estimated drug quantity, please indicate “no” in the previous column.  |  |
| 22  | Type Drug Measurement | DU = Dosage Units/ItemsFO = Fluid OunceGL= GallonGM = GramKG = KilogramLB = PoundLT = LiterML= MilliliterNP = Number of PlantsOZ = OunceXX= Not Reported |  | This is a conditionally required data element that typically captured in the narrative unless an agency has converted to NIBRS reporting. If your system does not have a data element for estimated drug quantity, please indicate “no” in the previous column. |  |
| 23  | Victim Sequence Number  |  |  |  |  |
| 24  | Victim Connected to UCR Offense Code  | 3-Character Alphanumeric |  |  |  |
| 25  | Type of Victim | B = BusinessF = Financial InstitutionG = GovernmentI = IndividualL = Law Enforcement Officer0 =OtherR = Religious OrganizationS = Society/PublicU= Unknown |  |  |  |
| 25A  | LEOKA – Type of Officer Activity/Circumstance | 01 =Responding to Disturbance Call(Family Quarrels, Person with Firearm, Etc.)02 = Burglaries in Progress or Pursuing Burglary Suspects03 =Robberies in Progress or Pursuing Robbery Suspects04 = Attempting Other Arrests05 = Civil Disorder (Riot, Mass Disobedience)06 = Handling, Transporting, Custody of Prisoners07 = Investigating Suspicious Persons or Circumstances08 =Ambush-No Warning09 = Handling Persons with Mental Illness10 = Traffic Pursuits and Stops11 = All Other |  |  |  |
| 25B  | LEOKA – Officer Assignment Type  | For Uniformed Law Enforcement Officers:F = Two-Officer VehicleG = One-Officer Vehicle (Alone)H = One-Officer Vehicle (Assisted)For Non-unifo1med Officers:I= Detective or Special Assignment (Alone)J = Detective or Special Assignment (Assisted)For Law Enforcement Officers Serving in Other Capacities (foot patrol, off duty, etc.):K = Other (Alone)L = Other (Assisted) |  |  |  |
| 25C  | LEOKA – Officer – ORI Other Jurisdiction | 9-Character Alphanumeric |  |  |  |
| 26  | Age of Victim  | NN = Under 24 HoursNB = 1- 6 Days OldBB = 7- 364 Days Old01- 98 = Years Old99 = Over 98 Years OldOO= Unknown |  |  |  |
| 27  | Sex of Victim  | F = FemaleM=MaleU= Unknown |  |  |  |
| 28  | Race of Victim | W = WhiteB = Black or African AmericanI= American Indian or Alaska NativeA =AsianP = Native Hawaiian or Other Pacific IslanderU= Unknown |  |  |  |
| 29  | Ethnicity of Victim | H = Hispanic or LatinoN = Not Hispanic or LatinoU=Unknown |  |  |  |
| 30  | Resident Status of Victim  | N = NonresidentR= ResidentU=Unknown |  | This refers to whether the victim resides within the geographic boundaries of your jurisdiction. |  |
| 31  | Aggravated Assault/Homicide Circumstances  | 13A = Aggravated Assault09A = Murder and Nonnegligent Manslaughter (enter up to two)01 = Argument02 = Assault on Law Enforcement Officer03 = Drug Dealing04 = Gangland (Organized Crime Involvement)05 = Juvenile Gang06 = Lovers' Quarrel07 = Mercy Killing (Not applicable to Aggravated Assault)08 = Other Felony Involved09 = Other Circumstances10 = Unknown Circumstances09B = Negligent Manslaughter (enter only one)30 = Child Playing With Weapon31 = Gun-Cleaning Accident32 =Hunting Accident33 =Other Negligent Weapon Handling34 =Other Negligent Killing09C = Justifiable Homicide (enter only one)20 = Criminal Killed by Private Citizen2 I = Criminal Killed by Police Office |  |  |  |
| 32  | Additional Justifiable Homicide Circumstances  | A = Criminal Attacked Police Officer and That Officer Killed CriminalB = Criminal Attacked Police Officer and Criminal Killed by Another PoliceOfficerC = Criminal Attacked a CivilianD = Criminal Attempted Flight From a CrimeE = Criminal Killed in Commission of a CrimeF = Criminal Resisted ArrestG = Unable to Determine/Not Enough Information |  |  |  |
| 33  | Type Injury | N = NoneB = Apparent Broken BonesI = Possible Internal InjuryL = Severe LacerationM = Apparent Minor Injury0 = Other Major InjuryT = Loss of TeethU = Unconsciousness |  |  |  |
| 34  | Offender Number to be Related | 2-Character Numeric |  |  |  |
| 35  | Relationship of Victim to Offender | SE= Victim Was SpouseCS = Victim Was Common-Law SpousePA = Victim Was ParentSB= Victim Was SiblingCH= Victim Was ChildGP= Victim Was GrandparentGC = Victim Was GrandchildIL= Victim Was In-lawSP = Victim Was Step-parentSC =Victim Was Step-childSS = Victim Was Step-siblingOF= Victim Was Other Family MemberAQ = Victim Was AcquaintanceFR= Victim Was FriendNE= Victim Was NeighborBE= Victim Was BabysitterBG= Victim Was Boyfriend/GirlfriendCF = Victim Was Child of Boyfriend/GirlfriendHR = Homosexual RelationshipXS = Victim Was Ex-SpouseEE= Victim Was EmployeeER= Victim Was EmployerOK= Victim Was Otherwise KnownRU= Relationship UnknownST = Victim Was StrangerVO= Victim Was Offender |  |  |  |
| 36  | Offender Sequence Number | 2-Character Numeric |  |  |  |
| 37  | Age of Offender  | 01- 98 = Years Old99 = Over 98 Years OldOO = Unknown |  |  |  |
| 38  | Sex of Offender | F = FemaleM=MaleU= Unknown |  |  |  |
| 39  | Race of Offender  | W = WhiteB = Black or African AmericanI= American Indian or Alaska NativeA = AsianP = Native Hawaiian or Other Pacific IslanderU= Unknown |  |  |  |
| 39A  | Ethnicity of Offender  | H = Hispanic or LatinoN = Not Hispanic or LatinoU=Unknown |  |  |  |
| 40  | Arrestee Sequence Number  | 2-Character Numeric |  |  |  |
| 41  | Arrest Transaction Number  | 12-Character Alphanumeric |  |  |  |
| 42  | Arrest Date.  | YYYYMMDD |  |  |  |
| 43  | Type of Arrest | 0 = On-View ArrestS = Summoned/CitedT = Taken Into Custody |  |  |  |
| 44  | Multiple Arrestee Segments Indicator  | C = Count ArresteeM = MultipleN = Not Applicable |  |  |  |
| 45  | UCR Arrest Offense Code  | 3-Character Alphanumeric |  |  |  |
| 46  | Arrestee Was Armed With  | 01 = Unarmed11 = Firearm (type not stated)12 = Handgun13 =Rifle14 = Shotgun15 = Other Firearm16 = Lethal Cutting Instrument17 = Club/Blackjack/Brass Knuckles |  |  |  |
| 47  | Age of Arrestee | 01- 98 = Years Old99 = Over 98 Years OldOO = Unknown |  |  |  |
| 48  | Sex of Arrestee  | F = FemaleM=Male |  |  |  |
| 49  | Race of Arrestee | W = WhiteB = Black or African AmericanI= American Indian or Alaska NativeA =AsianP = Native Hawaiian or Other Pacific IslanderU=Unknown |  |  |  |
| 50  | Ethnicity of Arrestee | H = Hispanic or LatinoN = Not Hispanic or LatinoU=Unknown |  |  |  |
| 51  | Resident Status of Arrestee  | R = ResidentN = NonresidentU=Unknown |  | This refers to whether the arrestee resides within the geographic boundaries of your jurisdiction. |  |
| 52  | Disposition of Arrestee Under 18 | H = Handled Within DepartmentR = Referred to Other Authorities |  |  |  |
| 53 | Animal Cruelty | A = Simple/Gross Neglect (failure to provide food, water, shelter, veterinary care, or intentionally or knowingly withholding food or water) I = Intentional Abuse and TortureF = Organized Abuse (dog fighting and cock fighting) S =Animal Sexual Abuse (bestiality) |  | New Data Element -- Effective January 1, 2016 |  |

1. Does the application or system enforce any of the NIBRS data edit and validation checks at the time of data entry? Data edit and validation checks are logical tests that NIBRS enforces to ensure data quality and integrity (e.g., a Larceny offense can’t be entered without having the corresponding stolen property). The full list of data edit checks is available at https://ucr.fbi.gov/nibrs\_technical\_specification\_version\_3.1\_pdf.
2. Does your current system create or have the ability to create a NIBRS or UCR report/export file?
	1. If yes, in what format? How done?
	2. If no, how do you report NIBRS? State website? Other?
	3. What reporting methods are available for submitting UCR/NIBRS data?
3. Does your state have additional incident based reporting requirements (e.g., ONIBRS in Oregon) that would need to be met beyond the federal NIBRS standard? If yes, can the system capture these additional data elements? (If you are not sure, contact your State UCR Program. See contact information listed on the first page of this document.)
4. Describe procedural changes that will need to be made to support NIBRS reporting. Examples include, but are not limited to:
	1. Reporting multiple offenses in a single incident
	2. Enforcing additional NIBRS validation requirements
	3. Changes to report creation and/or data entry process
	4. Changes to Law Enforcement Killed or Assaulted and/or hate crime reporting procedures
	5. Collection of additional data elements and values

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| General System InformationThe purpose of this section is to develop an overview of the system being reviewed to better understand its design and use with respect to collecting and reporting NIBRS data. **If a vendor is responsible for development work, questions 14-18 are optional.** |

1. At what location is the system hosted?
2. Who is responsible for the daily operation, management, and availability of the system?
3. Who is responsible for development work on the system? If a vendor performs this work, then provide name of the vendor and contact person information.
4. What are the availability requirements of the system?
5. What is the network connectivity to the system (assuming a web-based or client-server system)? Is the system connected to the Internet? Describe how you share information from your system with outside organizations (DA, state, etc.).
6. Are there logging and auditing requirements for the system? Do you need to know who accessed what information and when it was accessed? If so, how are they implemented? Can a report be deleted once it has been approved? If so, describe who can delete reports. Describe what kind of approval is required to delete reports (e.g., written request to command staff).
7. On which programming platform/language (Java, .NET, COBOL, etc.) was the system developed?

1. Which version of the programming platform/language does the system use?
2. On what operating system does the system run?
3. What brand and version of database does the system use?
4. What type of application server does the system use (WebSphere, Oracle Application Server, JBoss, Weblogic, Windows IIS, etc.)?

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| Information Exchanges/Sharing CapabilitiesThe purpose of this section is to better understand the system’s ability to share and exchange data which is an inherent part of the NIBRS reporting standard. |

1. Do you currently participate in any information exchanges that utilize this system? Please identify the information exchanges (answer a - e for each exchange)?
2. Name of exchange:
3. Is the exchange batch or real-time?
4. How is the exchange implemented (FTP, E-mail, EDI, Web Services, etc.)?
5. Does the system provide or consume information or both?
6. What access method is used to extract data from or load data into your system?

1. Describe all of the methods available to access the database/data on your system other than through the user interface?
2. Does the system expose key functionality (processes or data edits) through APIs?
3. Are those APIs published?
4. Does your organization have the documentation for the APIs?
5. How have you used?
6. Does the application allow data access using direct database connectivity? (e.g., ODBC)
7. Does the application allow data access using Stored Procedures (SQL)?
8. Where are data edits and business rules applied:  user interface, database layer, middle tier?
9. What messaging mechanisms are available in your system (FTP, RPC, Web Services, Messaging)?
10. What capabilities does the system have for triggering information exchange? How would the system generate and send web services calls or other messages (data exchanges) based on the occurrence of events or other triggers in the application?

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| Business Practices including Staffing and ResourcesThe purpose of this section is to understand your agency’s current business practices on how data is entered into the system and how transitioning to NIBRS will impact those business practices.  |

1. Describe current process for creating Incident/Offense (IO) and Arrest reports. Examples include, but are not limited to:
	1. Reports are taken on paper in the field and data entry is performed at the station
	2. Reports are taken electronically in the field and uploaded to a centralized database
	3. Combination of paper-based and electronic reporting
2. Describe how reports are currently reviewed to produce summary UCR submissions. Examples include, but are not limited to
	1. Records staff reviews each report individually to compile summary UCR statistics.
	2. Supervisors approve reports with minimal additional review from records staff.
	3. RMS system produces summary UCR statistics with minimal staff intervention.
3. If moving to NIBRS would entail significantly more data collection for each crime incident than is currently being done, how will training needs be affected? Examples include (but are not limited to):
	1. NIBRS reporting requirements and validation rules
	2. New reporting procedures
	3. Software training
	4. Information about how crime statistics may appear to change
4. If internal staff will be responsible for development work, how experienced are staff members with the application architecture and/or code of the system?
5. If internal staff will be responsible for development work, how experienced are staff members with producing data extracts and in loading data provided through external means?
6. How experienced are staff members/vendors with designing, coding, implementing and maintaining information exchanges?
7. Have they used Web Services? If not, what tools and techniques have they used?
8. To which, if any, web services specifications (WS-I BP, WS-Addressing, WS-Reliable Messaging, etc.) does the system currently conform? Which version of the specification does the system support?
9. Does your organization have plans for adopting web services standards for information exchange? If so, which web services standards will be used, and how will they be implemented?

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| Cost AssessmentThe purpose of this section is to understand the costs to your agency associated with making the transition to NIBRS. |

1. If available, provide cost estimates for making the transition to NIBRS. This can include multiple options (e.g., in-house development, commercial off-the-shelf [COTS] solutions, etc.).
2. Include information about all anticipated costs. Examples include, but are not limited to:
	1. Software upgrades or replacement
	2. Interface development or adjustments
	3. Hardware upgrades or replacement
	4. Training for officers and support personnel
	5. Increased workload for officers and support personnel
	6. Public outreach and information efforts
3. If known, describe how the department plans to fund the transition to NIBRS.
4. NCS-X grant request
5. State funds
	1. Sub-grant from state NIBRS implementation grant
	2. Legislative appropriation
6. Local funds
7. Combination of any (or all) of the above

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| SummaryThe purpose of this section is to provide a high-level summary of your agency’s plans to transition to NIBRS. |

1. Describe whether the department is willing to transition to NIBRS.
2. Describe any technical, political, or financial barriers to making the transition to NIBRS. (Note that your state UCR Program, the FBI, and NCS-X Team has resources available to support your transition.)
3. Describe the anticipated timeframe for making the transition to NIBRS.
4. Describe any addition technical assistance needed from the state UCR program and/or the NCS-X team. Examples include, but are not limited to:
	1. Developing or reviewing RFPs
	2. Education and outreach materials, including working with the media and introducing it to elected/appointed officials
	3. NIBRS training for officers and support staff