



Arizona Department of Public Safety
Criminal Justice Services Bureau
Access Integrity Unit

Arizona Uniform Crime Reporting Program Policy Manual



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Prepared by:
Criminal Justice Services Bureau
Access Integrity Unit

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1 INTRODUCTION

1.1 PURPOSE

The Arizona Uniform Crime Reporting (UCR) Program Policy Manual is designed to assist local Arizona law enforcement agencies in submitting uniform crime statistics in compliance with state and federal standards.

1.2 SCOPE

Pursuant to Arizona Revised Statutes (A.R.S.) §§ 41-1750 and 15-515, and in cooperation with the Federal Bureau of Investigation's (FBI) National UCR Program guidelines for State UCR Programs, the Arizona Department of Public Safety (DPS) developed the standard policies contained within this document to create a basis for local agency UCR procedure(s).

1.3 AGENCY ROLES AND RESPONSIBILITIES

This section provides a description of the following entities and roles:

Access Integrity Unit (AIU) – The Access Integrity Unit (AIU) is the working unit within the DPS which executes all duties of the CSO, to include creation and release of new CJIS policy areas, as well as the review (audit) of statewide CJIS compliance within local agencies.

Arizona Department of Public Safety (DPS) – The DPS is the largest state-level law enforcement agency in Arizona. Established by Arizona Revised Statute, Title 41, Chapter 17, the DPS is responsible for providing statewide service to its criminal justice users with respect to the criminal justice information system from various systems managed by the FBI CJIS Division.

CJIS Systems Agency (CSA) – In addition to operating as the CSR for Arizona, the DPS also operates as the CJIS Systems Agency (CSA). The DPS is responsible for overseeing the regulatory functions and overall management of the Criminal Justice Information System (CJIS) and its sub-programs throughout the state.

CJIS Systems Officer (CSO) – The CJIS Systems Officer (CSO) within DPS serves as the liaison to the FBI and is responsible for the implementation of, and ultimately compliance with, FBI CJIS policy at the local level.

Central State Repository (CSR) – The DPS operates the Central State Repository (CSR) in accordance with A.R.S. § 41-1750 and its applicable sub-sections, which further states that the DPS shall operate a statewide uniform reporting program in cooperation with the FBI National UCR Program.

State Uniform Crime Reporting (UCR) Program – FBI requires that all states designate a State UCR Program agency to represent all other agencies and liaison with the FBI National UCR Program. The State UCR Program is the clearinghouse for all officially recognized crime statistics within a state. A.R.S. § 41-1750 deems the Department of Public Safety as the State UCR Program agency for Arizona.

Uniform Crime Reporting (UCR) Program Agency Contact (POC) – The UCR Program Agency Contact, abbreviated as POC, is the liaison between the local agency and the DPS

regarding UCR Program matters. The POC is responsible for responding to DPS communications, requests, and audits, and is ultimately responsible for ensuring that the local agency develops an internal UCR practice compliant with requirements set forth in this manual, and associated program operating manuals.

Federal Bureau of Investigation (FBI) – The FBI is a sub-governmental entity of the United States Department of Justice (DOJ). Title 28 of the United States Federal Code of Regulations (C.F.R.) designates the FBI as the responsible party for national-level regulatory functions regarding criminal justice systems.

FBI Criminal Justice Information Services (CJIS) Division – The CJIS Division is the section of FBI which executes all regulatory duties with regard to the criminal justice system. The CJIS Division operates the FBI National UCR Program as a sub-entity of the CJIS system.

FBI National Uniform Crime Reporting (UCR) Program – The FBI National UCR Program, operated by the FBI CJIS Division, collects crime statistics and related data from State UCR Program agencies across the United States. The FBI National UCR Program is the national clearinghouse for all officially recognized crime statistics within the United States at the federal level.

1.4 UNIFORM CRIME REPORTING PUBLICATIONS

The Arizona Uniform Crime Reporting Program releases the following annual publications:

Crime in Arizona – The *Crime in Arizona* publication is an annual report of aggregate crime totals by locality, county region, and the state overall.

1.5 PROGRAM ADVISORY GROUPS AND CHANGE FLOW

The FBI operates a CJIS Advisory Policy Board (APB) which makes recommendations on updates and changes to CJIS-related policy. The APB meets annually to vote on changes recommended through a formal process involving multiple advisory working groups, compact councils, and state-level agencies. Advisory groups such as the International Association of Chiefs of Police (IACP), the Major Cities Police Chiefs Association, the National Sheriffs' Association (NSA), and the Association of State Uniform Crime Reporting Programs (ASUCRP) represent law enforcement agencies nationwide and voice information and recommendation to the APB on topics concerning the National UCR Program.

In Arizona, the Arizona Department of Public Safety (DPS) operates as the CJIS Systems Agency (CSA). The CJIS Systems Officer (CSO), serves as the liaison between the FBI CJIS Division and local agencies and is responsible for the effective operation of, and overall compliance with CJIS systems, its sub-entities, and modification and alignment of applicable state statutes and regulation. The CSO also ensures Arizona is represented in the APB process. The DPS Access Integrity Unit (AIU) coordinates the APB process within Arizona, on behalf of the CSO.

Each year, agencies are directed to submit topic papers to the AIU for review and consideration by the CSO. These topic papers are accepted from the agency's System Security Officer (SSO), Assistant SSO, Local Agency Security Officer (LASO), or Chief Executive Officer (CEO). Proposed topics are completed on a form provided by the AIU, and should include a clear statement of the request, how the topic situation is currently handled, suggested solution(s), scenario/example(s), benefit(s) expected for the criminal justice community, the impact on state and local departments, importance of the decision, and the contact within the agency for questions regarding the topic. Topics selected are, in turn, pushed through the APB process for consideration.

Decisions rendered by the APB which affect the UCR Program are written into Arizona UCR Program policy and released to agencies for implementation at the local level. Questions regarding the APB process and changes to the UCR Program may be forwarded to the Access Integrity Unit at (602) 223-2488 or AccessIntegrity@azdps.gov.

1.6 DISTRIBUTION OF THE ARIZONA UCR PROGRAM POLICY MANUAL

Each agency POC shall make readily available the *Arizona UCR Program Policy Manual* to all agency personnel involved in the data collection, quality assurance review, and ultimate submission of crime statistics to the DPS. Furthermore, the agency POC must ensure that all local policies and standard operating procedures written as an extension to the Arizona UCR Program policy areas align with their state-level equivalents.

2 PROGRAM POLICY AREAS

2.1 REPORTING REQUIREMENTS AND SUBMISSION DEADLINES

The statewide Uniform Crime Reporting program is operated by the Department of Public Safety and contains multiple statistical topic areas, referred to as data collections.

All Arizona law enforcement agencies are mandated by Arizona Revised Statute (A.R.S.) §41-1750(d) to provide such information deemed necessary by the Director of the Arizona Department of Public Safety, in order to operate the statewide uniform crime reporting program and to cooperate with the federal uniform crime reporting program. Furthermore, A.R.S. §41-1750(f) states that all agencies must provide information concerning crimes that manifest evidence of prejudice based on race, color, religion, national origin, sexual orientation, gender or disability.

Therefore, to facilitate timely, complete, and accurate statistical data, the following deadlines and compliance standards must be met by all agencies when reporting UCR data:

Offense and Arrest Statistics – Due to DPS no later than the 15th day following the conclusion of the reporting month.

Bias (Hate) Crime Statistics – Via the Summary Reporting System (SRS), bias (hate) crime statistics are due to DPS no later than the 15th day following the conclusion of the reporting quarter. A zero report must be submitted for quarters in which no hate crimes occur. Via the Incident-Based Reporting (IBR) method, no later than the 15th day following the conclusion of the reporting month.

Law Enforcement Officers Killed and Assaulted (LEOKA) – Due to DPS no later than the 15th day following the conclusion of the month the incident occurred. Via the Summary Reporting System (SRS), the Federal Form 1-701 “Law Enforcement Officers Killed and Assaulted (LEOKA) Packet” must also be submitted in tandem with the monthly statistics no later than the 15th day following the conclusion of the month the incident occurred. SRS agencies must submit a zero report by indicating “No Activity” on the UCRS Return A if there were no LEOKA incidents that occurred during the reporting month.

Law Enforcement Employee Count Data – Due to DPS no later than the specified deadline for the annual reporting year. This deadline is set forth by the FBI and may fluctuate through November and December of the calendar year.

Quality Control Process – In line with FBI CJIS Division policy, agencies must implement a second-party verification process into their procedures for all information or data submitted to CJIS and its sub-programs. Agencies must ensure that a second-party performs a quality control review of all statistics prior to submission to the State UCR Program for completeness and accuracy.

ACJIS User Agreement – Agencies submitting statistics to the Arizona UCR Program must have a current ACJIS User Agreement on file with DPS. The ACJIS User Agreement is a contractual agreement which outlines the responsibilities of DPS as the CJIS Systems Agency, and the criminal justice agency contributing to the Criminal Justice Information System (CJIS).

Failure to meet these requirements may result in the omission of the agency’s crime statistics from the State or National UCR publication(s).

2.2 CERTIFICATION REQUIREMENTS TO REPORT INCIDENT-BASED OFFENSE DATA (IBR/NIBRS)

The deadline for agencies to report offense and arrest statistics via the Incident-Based Reporting method, known as IBR or NIBRS, is January 1, 2021. Agencies must pass a federally mandated certification process through DPS to be awarded certification. DPS certifies agencies individually, rather than commercial vendors. All communication regarding the certification process resides between the agency and DPS directly; agencies may relay requests to DPS for information on behalf of their commercial vendor. The certification consists of the following requirements:

System Appropriateness – Agencies utilizing a commercial or self-built RMS must meet applicable Federal and State UCR Technical Specifications and CJIS System Security Policy requirements. The system must have safeguards in place to prevent the over-reporting or under-reporting of UCR data, as well as erroneous statistical data.

Update Capability – The RMS must possess the capability to be updated to meet future technical specification changes, respond to State and FBI queries and requests, and correct errors in a timely manner. The RMS database must hold a minimum of the previous two years of crime data and allow for the appropriate update and modification of this data for seamless contribution to DPS.

Timely Manner is defined as providing requested and necessary correction of data to DPS within the specified deadline, and required updates being implemented no later than deadlines imposed by DPS and the FBI. Technical updates are required on an as-issued basis per applicable Technical Operations Updates (TOU’s) and Technical Specification Manual updates.

Error Rate – Agencies must maintain a technical error rate less than 4% for three consecutive months during testing, and for the entirety of live-data submissions thereafter. During the testing process, failure to maintain this error level will require a subsequent three months of appropriate test data until certification may be achieved. Certified agencies which fail to maintain appropriate error levels will be placed into a probationary status until the issue is identified and corrected and may be subject to directed audit.

Statistical Reasonableness – Incident-Based Reporting (IBR) data compiled during testing will be converted to aggregate data and compared to tandem submissions of live Summary Reporting System (SRS) data. A comparison will be made to evaluate for percent distribution, data trending and volume, and monthly fluctuations. To achieve this, agencies must continue to submit live SRS data simultaneously with test IBR data until certification is achieved per FBI mandate. Data trending will be evaluated over a six-month period per the National UCR Program requirement.

Additional factors, such as an agency’s UCR Training Program and standard policies/operating procedures related to UCR, will be reviewed to ensure compliance with State and FBI UCR standards. Recommendations may be made by DPS as necessary to facilitate complete and accurate reporting per Arizona Revised Statute (A.R.S.) § 41-1750 and its applicable sub-sections.

Data Retention Requirements – Agencies must keep the previous two (2) years of data readily accessible for audit and/or data updates. Additionally, agencies must possess the ability to update previously submitted years of data as necessary.

On-line Entry – Agencies which do not possess a Records Management System (RMS) capable of producing a Bulk Data File per required State and FBI UCR Technical Specifications shall enter IBR data manually via an on-line data entry portal. On-line entry shall be required for subsequent live-data submissions once certified. Paper submissions are not accepted for any IBR data.

Zero Report – Per FBI mandate, smaller agencies may be required to show proof of the ability to submit a zero report. Prior to the testing process, DPS will notify the agency individually if this requirement applies.

Submitting Summary Data – During the testing process, each agency must submit Summary Reporting System (SRS) data as required. Once an agency has achieved IBR certification, the agency will cease SRS data submissions to DPS and the FBI. For the first publication year an agency submits IBR data, the IBR data will be converted back to SRS data for publishing. Once an agency submits a full 12 calendar months of IBR data, they will appear in both the aggregate *Crime in Arizona* and *Crime in the United States* publications, as well as the FBI’s *National Incident-Based Reporting System* publication of incident-driven data.

Agency Readiness Assessment Questionnaire – Prior to agencies submitting test data to DPS for the certification process, agencies shall submit to DPS a completed “Agency Readiness Assessment” questionnaire. This questionnaire will assist the Access Integrity Unit in identifying deficient and/or non-compliant areas regarding NIBRS Policy and Technical Specifications prior to the submission process and allow AIU to make necessary recommendations to facilitate an efficient testing process.

Agency IBR Implementation Packet – Near the conclusion of the certification process, agencies will complete and submit the remainder of the Agency IBR Implementation Packet to DPS. The Implementation Packet facilitates documentation at the state level to prove that the agency has implemented an appropriate and compliant NIBRS business flow within the agency and that all certification requirements have successfully been met.

Completion of Certification – Upon certification, a letter from DPS will be sent to the agency’s Chief Executive Officer, with a copy sent to the agency’s UCR Program contact. A copy of this letter will be placed in the agency’s file at DPS for reference.

Probationary Status – As of November 7, 2017, the FBI no longer allows for the voluntary relinquishment or decertification of IBR/NIBRS certification. Agencies which certify to submit statistics via the IBR method shall continue to do so. As a replacement to decertification, a probationary status has been developed for agencies which fail to maintain certification requirements. Certified agencies placed into a probationary status may be subject to directed audit.

Agencies deemed non-compliant during a UCR Compliance Audit may be placed into probationary status at the discretion of the DPS CJIS Systems Officer (CSO) or their designate. This status will continue until an agency is able to provide sufficient documentation to prove corrections have been made to bring the agency into compliance with FBI and Arizona UCR Program rules.

2.3 SAFE DEFAULT REQUIREMENT FOR RECORDS MANAGEMENT SYSTEMS (RMS)

Following the September 11, 2001 terror attacks, the National Incident-Based Reporting System (NIBRS) was queried to produce statistical information on the amount of aircraft-related crimes and thefts. The initial results indicated over 4,000 aircraft had been stolen in the United States between 1995 and 2002. Subsequent research showed that law enforcement records management systems (RMS) across the country had defaulted property types to “1 – Aircraft” when law enforcement officers were completing Larceny/Theft Reports. Following a lengthy audit process, it was determined that a total of zero aircraft had been stolen in the United States between 1995 and 2002.

To mitigate the potential for erroneous data reporting, an agency’s RMS system shall be configured with safe-defaults in place in areas where data must be selected or input by the end-user. Drop-down menus, check boxes, and similar interactive data-input features within the RMS shall be left blank, forcing the user to make a conscientious selection in areas which capture applicable reporting data for the State and FBI UCR Program.

Note: This rule does not apply for descriptive fields which may be carried over for auto-population from interfaced information systems such as Computer-Aided Dispatch (CAD) and the Arizona Criminal Justice Information System (ACJIS) Network.

This requirement shall be proven completed and in-place via the IBR Agency Implementation Packet required documents and verified during on-site UCR auditing.

2.4 REPORTING DOLLAR AMOUNT FOR CRIMINAL DAMAGE

When reporting via the Incident-Based Reporting (IBR) method, the FBI collects Damage/Destruction/Vandalism of Property statistics, either alone or committed during the commission of a burglary, when the damage is deemed “substantial” by the reporting agency. Agencies shall reference the following policy when determining whether the damage is substantial enough to report to the UCR Program:

“Substantial” shall be aligned with Arizona Revised Statute (A.R.S.) Title 13, Chapter 16 *Criminal Damage to Property* and applicable subsections which delineate crime classification. Agencies shall utilize A.R.S. § 13-1602, *Criminal Damage; Classification* when taking into consideration whether the incident must be reported.

Incidents resulting in \$1,000 (one-thousand dollars) or more in damage which would be charged as a felony must be reported for UCR purposes.

Incidents resulting in \$999.99 (nine-hundred and ninety-nine dollars and ninety-nine cents) or less shall not be reported to the UCR Program unless classified as a felony due to additional mitigating factors required by statute.

Incidents which contain an offense meeting A.R.S. § 13-1604 *Aggravated Criminal Damage* shall always be reported to the UCR Program, regardless of the dollar amount of loss, due to the classification of a Bias (Hate) Crime inherent within the statute’s definition for UCR Purposes.

Agencies are reminded to utilize the UCR Program Offense definitions when classifying crimes. Arizona Revised Statute section numbers should be referenced when determining proper crime classification levels for the reporting threshold and included in a case narrative from the investigating law enforcement officer.

Offenses which are motivated by an offender’s bias meeting the Bias Crime Statistics Collection requirements shall also be reported as hate crimes.

2.5 REQUIRED DATA ELEMENTS FOR INCIDENT-BASED REPORTING (IBR/NIBRS)

When reporting via the Incident-Based Reporting method, all Data Elements shall be considered mandatory to report.

Agencies utilizing an RMS system must display the capability to report all applicable data elements of an incident and implement any future data elements during the certification process per Section 2 of this manual.

2.5.1 DATA ELEMENT 12 (DE12) – TYPE OF CRIMINAL ACTIVITY AND GANG INFORMATION

Data Element 12 indicates the type of criminal activity and gang information for the following offenses:

Criminal Activity:

- 250 – Counterfeiting/Forgery
- 280 – Stolen Property Offenses
- 35A – Drug/Narcotic Violation
- 35B – Drug Equipment Violation
- 39C – Gambling Equipment Violation
- 370 – Pornography/Obscene Material
- 520 – Weapons Law Violations

Gang Information:

- 09A – Murder and Non-Negligent Manslaughter
- 09B – Negligent Manslaughter
- 100 – Kidnapping/Abduction
- 120 – Robbery
- 11A – Forcible Rape
- 11B – Forcible Sodomy
- 11C – Sexual Assault with an Object
- 11D – Forcible Fondling
- 13A – Aggravated Assault
- 13B – Simple Assault
- 13C – Intimidation

Animal Cruelty Activity:

- 720 – Animal Cruelty

Incidents containing these offense codes will be rejected with an error when DE12 is left blank, or the offense code does not correspond with the appropriate Data Value. For a listing of the appropriate Data Values for DE12, see the current version of the FBI UCR Program's *National Incident-Based Reporting System Technical Specifications Manual*.

2.5.2 DATA ELEMENT 16 (DE16) – VALUE OF PROPERTY

When using the Incident-Based Reporting (IBR) method, Data Element 16 – Value of Property indicates the total dollar value of the property that was burned, counterfeited, destroyed/damaged/vandalized, recovered, seized, stolen, etc. as a result of an incident. Recovered property may not be listed at a dollar amount greater than the original property value given when the incident was first reported.

- Entering \$1.00 (1) will automatically be considered as “Unknown” by the FBI. This data element is mandatory for offense 35B – Drug Equipment Violations. As a common law enforcement practice, many agencies do not consider or document the value of drug equipment seized during an investigation unless egregious. Therefore:
- If a dollar amount is available for drug equipment seized or recovered, the agency will list that value in DE16.
- If the dollar amount is unknown, \$1.00 (1) shall be reported as the amount.
- In cases where the value of drug equipment seized or recovered is not available due to reasons other than being truly unknown (due to an evaluation of cost not being completed or similar), the agency shall enter a value between \$2.00 (2) and \$5.00 (5) to depict a lower amount of value in statistical trending.

2.5.3 DATA ELEMENT 21 (DE21) – ESTIMATED DRUG QUANTITY

When reporting via the Incident-Based Reporting System, Data Element 21 indicates the quantity (number) of drugs or narcotics seized in a drug case. Therefore, it should only be used if one of the offenses in the incident includes a 35A Drug/Narcotic Violation, with “Seized” entered in Data Element 14 (Type of Property Loss) and Drugs/Narcotics entered in Data Element 15 (Property Description).

When the amount seized is deemed a trace amount, “.001” shall be entered in Data Element 21.

2.6 SPECIAL DATA COLLECTIONS

2.6.1 LAW ENFORCEMENT OFFICERS KILLED AND ASSAULTED (LEOKA) DATA COLLECTION

Agencies must report qualifying LEOKA incidents to the UCR Program as outlined in the current versions of the FBI National UCR Program’s *Summary Reporting System Manual* and *National Incident-Based Reporting System User Manual* respectively.

LEOKA data has been identified as severely underreported and incomplete within the FBI National UCR Program.

Summary Reporting System (SRS) Method – Agencies shall report qualifying LEOKA incidents on the monthly LEOKA Reporting Form, via the online data-entry portal. A LEOKA incident qualifies as a significant event if the law enforcement officer receives significant personal injury from a firearm or knife/cutting instrument. For significant events, Federal Form 1-701 must be completed to provide supplemental statistical information regarding the incident. The Form 1-701 shall be completed and submitted to DPS in tandem with the agency’s monthly statistics for the reporting month, as required in Arizona UCR Program Policy Area 2.1.

Incident-Based Reporting (IBR) Method – Agencies shall report qualifying LEOKA incidents utilizing the applicable LEOKA Data Elements 25 – 25C. Agencies reporting via the IBR method should report all LEOKA incidents occurring within their jurisdiction, regardless of officer agency assignment. Agencies reporting a LEOKA incident in which another agency’s officer was injured or killed shall depict this utilizing Data Element 25C – ORI Other Jurisdiction (Officer). Certified IBR agencies shall consult with DPS when reporting a qualifying significant event to receive further instruction.

Note: Please consult with DPS prior to reporting LEOKA incidents which occur in another agency jurisdiction. Until all Arizona agencies are certified to report IBR, DPS shall make the final determination of which agency will report the offense and LEOKA data.

2.6.2 BIAS (HATE) CRIME DATA COLLECTION

Agencies must report qualifying Bias Crime incidents to the UCR Program as outlined in the current version of the FBI National UCR Program’s *Hate Crime Data Collection Guidelines and Training Manual*. Additionally, agencies must incorporate the following requirements into local agency policy:

Two-Tier Review System – Agencies must incorporate a two-tier review process into their quality control measures specific to bias crime reporting. The first tier involves the initial investigating law enforcement officer reviewing the facts of the case to establish an offender’s bias. The second tier involves a specially trained bias crimes analyst or detective reviewing the initial responding officer’s findings to verify that the bias has been appropriately established and that the crime meets the reporting threshold for the Bias Crime Data Collection.

Detailed Documentation – Both the initial investigating officer and the second-tier reviewer must create supporting documentation in the form of a narrative which justifies

the agency's decision to classify and report the incident as a hate crime. This documentation will be reviewed during the audit.

2.7 RELEASE OF INCIDENT-BASED REPORTING DATA

UCR Data submitted to DPS during the Certification Process outlined in the *Arizona UCR Program Policy Manual, Policy Area 2.2 – Certification Requirements to Submit Incident-Based Reporting Data* will not be released by DPS to the general public, the media, public or private organizations, local, county, state, or federal government agencies (except the Federal Bureau of Investigation), research organizations, or any government political sub-divisions.

Agencies testing to submit via the IBR method may release their data publicly at their discretion, provided such release does not violate Criminal Justice Information System (CJIS) Security Requirements regarding Criminal History Record Information (CHRI) and Personally Identifiable Information (PII).

Once an agency is certified, statistics submitted via the IBR method post-certification shall be public record and will be released by DPS as deemed appropriate for publication and by individual records request.

2.8 RELEASE OF INCIDENT-BASED REPORTING DATA CASE NUMBERS

Incident Report (Case) Numbers contained in IBR Data submitted to DPS will not be released by DPS to the general public, the media, public or private organizations, local, county, state, or federal government agencies (except the Federal Bureau of Investigation), research organizations, or any government political sub-divisions under any circumstances. This is done to prevent potential exposure of victim identity.

Agencies may release their IBR data publicly, to include Incident Report (Case) Numbers at their discretion, provided such release does not violate Criminal Justice Information System (CJIS) Security Requirements regarding Criminal History Record Information (CHRI) and Personally Identifiable Information (PII).

2.9 INCIDENT-BASED REPORTING (IBR/NIBRS) SYSTEM – STATUTE CODE MAPPING

When reporting via the Incident-Based Reporting method utilizing a Records Management System (RMS), the technical mapping may be required on the “back-end” of the computer application to execute successful automated processes. This can include displaying appropriate UCR coding to end-users and generating a Bulk Data File for upload to the Arizona UCR Repository.

To provide consistent reporting, agencies shall configure their RMS with Arizona Revised Statute code mapping provided by DPS. Federal Criminal Code and Federal Code of Regulation (CFR) violations have been mapped by the FBI, as applicable, and are included in the code mapping provided by DPS.

Agencies are responsible for the mapping and programming of local ordinances and city codes (within their respective jurisdiction only) which meet UCR reporting requirements. Agencies should contact DPS for guidance if unsure of specific local code mapping.

2.10 EXCEPTIONAL CLEARANCES

Agencies may clear an offense or incident by exception when the following four questions can be answered in the affirmative:

1. Has the investigation established the identity of the offender beyond all reasonable doubt?
2. Is there enough information to support an arrest, charging action, and turning over the case to a court for prosecution?
3. Is the exact location of the offender known so that the subject can be taken into custody now?
4. Is there some reason outside of law enforcement control that precludes arresting, charging, and prosecuting the offender?

Agencies may also clear an offense or incident by exception when the first three questions are answered in the affirmative, and a victim is unwilling to prosecute.

If an offense or incident does not meet these requirements, it cannot be exceptionally cleared. Common examples of appropriate circumstances to exceptionally clear an incident include: the offender has been identified and found to be previously deceased; the offender is currently in the custody of another jurisdiction serving extended prison-time where the other jurisdiction is refusing to extradite; the offender has been positively identified to be living in another country which is refusing to cooperate with applicable international extradition processes; permanent diplomatic immunity.

NOTE: The administrative closing of a case due to no leads or extended time being open, the refusal of a prosecuting agency to file charges in a court, or the dismissal of a case in court due to insufficient or inconclusive evidence does not constitute an exceptional clearance.

When reporting via the Incident-Based Reporting (IBR) method, agencies may not report an exceptional clearance when an arrest has already been reported to clear the incident. Exceptional clearances entered into the Arizona UCR Repository will be reviewed by DPS to ensure sufficient documentation exists at the agency level to justify making an exceptional clearance.

2.11 UNIFORM CRIME REPORTING COMPLIANCE AUDITS

Uniform Crime Reporting Program audits are conducted on a triennial cycle concurrent with the Arizona Criminal Justice Information System (ACJIS) protocol. Agencies will receive notification of a UCR Compliance Audit from DPS no less than 30 days prior to the audit date. The audit will consist of three segments:

Administrative Questionnaire – A pre-audit questionnaire will be sent to the UCR Agency Contact immediately following the initial audit notification. Agencies must complete the questionnaire via an on-line audit portal no later than the deadline given.

Data Quality Review – A specified number of records will be reviewed during the audit to ensure proper classification and scoring of offenses occurred based upon information derived from the arrest report and narrative. Reports will also be reviewed to determine proper hate crime and LEOKA classification.

Notice of Findings – The preliminary notice of findings will be sent to the agency for response. Any non-compliant findings must be responded to by the agency no more than 30 days following the notice of findings. In addition to non-compliance findings, recommendations may be made by the auditor to assist the agency with maintaining compliance with the UCR Program.

Additional topics of review include:

Policy, Procedures, Training – Agencies shall develop a unique training program at the local level regarding UCR reporting. Internal agency-specific training materials will be reviewed to ensure that sufficient UCR Program information is given to all personnel involved in the UCR Process. Additionally, the agency must have standardized policies and operating procedures on file which direct personnel on how to compile all necessary data for UCR purposes. The operating procedures must also outline the agency's submission process for all personnel involved in quality control and finalization of UCR data for monthly reporting.

Additional Documentation – Along with the completion of the Administrative Questionnaire, the agency contact shall provide DPS with a change-flow diagram depicting the agency's internal business flow of UCR information. The documentation shall depict the generation of reporting data from calls for service and officer-initiated contacts, as well as the UCR coding and quality control process. This documentation will be compared to the current documentation on file at DPS and evaluated for program compliance.

Contingency Operations – Verification will be made to ensure at least two person(s) or more at the agency are trained in the administrative operations of UCR, to include monthly data submissions.

Records Request – Agencies shall make available the requested amount of reports per offense type to the Access Integrity Unit (AIU) per the *ACJIS User Agreement*. Hard copy reports must be prepared prior to the on-site arrival of AIU audit staff.

The FBI National UCR Program Quality Assurance Reviews (QAR-audit) are also conducted on a triennial basis. Arizona UCR Program staff will notify agencies should they be selected for a QAR and will accompany FBI staff at the time of on-site visit.

2.12 UNIFORM CRIME REPORTING TRAINING

DPS provides the following UCR training classes throughout the calendar year. Attendees will benefit from our free training classes by learning about state and federal compliance standards relating to the Uniform Crime Reporting Program:

Uniform Crime Reporting Compliance Refresher – The UCR Compliance Refresher course provides a general overview of the Arizona UCR Program and its statistical data collections and assists agencies in maintaining compliance with state statutes and regulations governing UCR.

Introduction to National Incident-Based Reporting System (NIBRS) – The Introduction to NIBRS course combines information provided in FBI NIBRS courses and the Agency IBR Playbook to provide an overview of the Incident-Based Reporting method, its reporting procedures, the certification process, and general guidance on compiling a successful transition project team to gain certification.

UCR Bias Crime Course – The UCR Bias Crime course provides detailed background and instruction on the Bias Crime Statistics Collection and its reporting protocol. Topics areas include statutory obligations of law enforcement when investigating and reporting hate crime, social trends, and factors which influence reporting, allowable bias-motivators collected, the proper method for reviewing and classifying hate crime, and mandatory procedure to complete when reporting hate crime to the UCR Program.

2.13 NOTIFICATION OF PERSONNEL TERMINATIONS, TRANSFERS, AND REINSTATEMENTS

Although access to UCR systems do not require a Terminal Operator Certification (TOC) number, POC's must notify DPS of all personnel terminations, transfers (out of UCR), and reinstatements as they occur. This allows DPS to control access to the online entry portals (UCRS Online and AIBRS) and mitigate any data integrity concerns.

Agencies must notify DPS of an Agency Contact (POC) change immediately. It is encouraged, but not required, that agencies consider allowing for assistant POC's to alleviate administrative duties and facilitate seamless program compliance.

3 UNIFORM CRIME REPORTING (UCR) OPERATING MANUALS

3.1 FEDERAL MANUALS

The following operating manuals are published by the FBI National UCR Program and its sub-contractors are authorized law enforcement personnel with daily duties when reporting statistics to the Arizona UCR Program.

3.1.1 FBI SUMMARY REPORTING SYSTEM (SRS) USER MANUAL – The FBI SRS User Manual assists agencies in submitting to the Offense and Arrest Statistics Data Collection utilizing the traditional SRS method. The manual includes offense definitions in which to classify, provides scoring advice, and training scenarios to assist with the instruction of new personnel.

3.1.2 FBI NATIONAL INCIDENT-BASED REPORTING SYSTEM (NIBRS) USER MANUAL – The FBI NIBRS User Manual assists agencies in submitting Incident-Based Reporting (IBR/NIBRS) statistics within the UCR Program. The manual includes offense definitions in which to classify, and training scenarios to assist with the instruction of new personnel. Agencies which have been certified to use the IBR/NIBRS method of reporting statistics for the Offense and Arrest Statistics Data Collection, the Bias (Hate) Crime Data Collection, and the Law Enforcement Officers Killed and Assaulted (LEOKA) Data Collection via one reporting method.

3.1.3 FBI NATIONAL INCIDENT-BASED REPORTING SYSTEM (NIBRS) TECHNICAL SPECIFICATIONS – The FBI National Incident-Based Reporting System (NIBRS) Technical Specifications manual provides an overview and breakdown of the IBR/NIBRS technical formatting, to include data elements, their associated data values, and business rule requirements for submitting IBR/NIBRS statistics in a bulk data file format.

3.1.4 FBI BIAS (HATE) CRIME DATA COLLECTION GUIDELINES AND TRAINING MANUAL – The FBI Bias (Hate) Crime Data Collection Guidelines and Training Manual provides a background and overview of the Bias (Hate) Crime Data Collection. Furthermore, the training manual provides scenarios and materials for instruction on properly classifying bias-motivated offenses for proper hate crime reporting, regardless of the reporting method (SRS vs. NIBRS).

3.1.5 BUREAU OF JUSTICE STATISTICS (BJS) NATIONAL CRIME STATISTICS EXCHANGE (NCS-X) AGENCY IBR PLAYBOOK – The Bureau of Justice Statistics (BJS) National Crime Statistics Exchange (NCS-X) Agency IBR Playbook was developed in partnership with the FBI National UCR Program and provides a step-by-step action plan for agencies looking to transition to the National Incident-Based Reporting System (IBR/NIBRS) method of reporting crime statistics.

3.2 ARIZONA MANUALS

The following manuals have been created by the Arizona Department of Public Safety and its sub-contractors to assist local agencies in Arizona-specific reporting protocol.

3.2.1 UNIFORM CRIME REPORTING SYSTEM (UCRS) ON-LINE USER MANUAL – The UCRS Online User Manual provides operating instructions for agencies submitting via the Summary Reporting System (SRS) method. Agencies utilizing the SRS method report monthly crime statistics to DPS by means of a system of online forms, accessible via a web portal known as UCRS Online.

3.2.2 ARIZONA INCIDENT-BASED REPORTING SYSTEM (AIBRS) USER MANUAL – The AIBRS User Manual provides operating instructions for agencies submitting via the National Incident-Based Reporting System (IBR/NIBRS) method. Agencies utilizing the IBR method report monthly crime statistics to DPS by means of a manual data entry or bulk data file upload. This is completed within a web portal known as AIBRS.

3.2.3 ARIZONA UNIFORM CRIME REPORTING PROGRAM POLICY MANUAL –The Arizona Uniform Crime Reporting (UCR) Program Manual is designed to assist local Arizona law enforcement agencies in submitting uniform crime statistics in compliance with state and federal standards.

4 ARIZONA UCR PROGRAM CONTACT INFORMATION







Inquiries regarding the information presented in this manual may be directed to:



Arizona Department of Public Safety
Access Integrity Unit – Criminal Justice Services Bureau
P.O. Box 6638, Mail Drop 3160
Phoenix, Arizona 85005-6638
Phone: (602) 223-2488
Fax: (602) 223-2926
E-Mail: UCR@azdps.gov


5 REFERENCE MATERIAL




The following documents are provided as reference material for agency personnel involved in the Uniform Crime Reporting process.

5.1 Summary Reference Materials	
Quarterly Hate Crime Report	 06810 - QHCR.PDF
Hate Crime Supplemental Incident Report	 06809 - Hate Crime Incident Report Form
Arson Offenses Known to Law Enforcement	 Arson.pdf
Human Trafficking Offenses Known to Law Enforcement	 Copy of Human trafficking form 4-28
Form A – Monthly Count of Offenses Known to Police	 Form A.pdf
Form B1 – Supplemental Report of Offenses/Value of Property Stolen and Recovered	 Form B1.pdf
Form B2 – Supplementary Report of Offenses/Property Stolen by Offense	 Form B2.pdf
Form C – Supplementary Homicide Report	 Form C.pdf

<p>Form D – Age, Sex, Race & Ethnic Origin of Persons Arrested (18 & Over)</p>	 Form D (1of 2).pdf  Form D (2 of 2).pdf
<p>Form E – Age, Sex, Race and Ethnic Origin of Persons Arrested (Under 18)</p>	 Form E (1 of 2).pdf  Form E (2 of 2).pdf
<p>Form F – Law Enforcement Officers Killed or Assaulted</p>	 LEOKA.pdf
<p>Form H – Number of Full-Time Law Enforcement Employees as of October 31 Each Year</p>	 Form H (emp cnt).pdf

5.2 NIBRS Reference Materials	
<p>Data Elements List</p>	 AZ DATA ELEMENTS LIST.pdf
<p>Mutually Inherent Offense Table</p>	 NIBRS Mutually Inherent Offenses T:

5.3 Administrative Reference Materials	
<p>UCR Annual Agency Checklist</p>	 Annual UCR Agency Checklist.pub

UCR Summary Master Drug List	 UCR Drug Master List.pdf
UCR Agency Information Form	 UCR Contact Data Form.pdf
NIBRS At A Glance	 NIBRS at a Glance.pdf

5.4 Glossary of Terms	
ACJIS User Agreement	A signed agreement between a law enforcement agency executive and DPS which outlines party responsibilities and agreements surrounding the Arizona Criminal Justice Information System (ACJIS) and its sub-programs.
Advisory Policy Board (APB)	A cadre of officials and subject matter experts which make policy area directions for the Federal Bureau of Investigation (FBI). FBI divisions may consist of multiple Advisory Policy Boards with oversight on multiple topic areas.
Agency Contact (POC)	The UCR Program Agency Contact, abbreviated as POC, is the liaison between the local agency and the DPS with regard to UCR Program matters
Bias (Hate) Crime	A data collection within the UCR Program which collects supplemental statistical information on crime which manifests, in whole or in part, bias motivation in the offender.
Bulk Data File	A computer file created by an agency's Records Management System which contains coded crime data for upload into the DPS UCR Repository.
Data Collection	A statistical topic area under which detailed or aggregate data is collected.
Data Element	The technical segment in IBR / NIBRS which denotes a data topic point
Data Value	The descriptive code which corresponds to a data element and provides specific information for the data topic point
Law Enforcement Officers Killed and Assaulted (LEOKA)	A data collection within the UCR Program which collects supplemental statistical information on assaults on law enforcement officers, and line of duty criminal or accidental deaths.
Offense and Arrest Statistics	A data collection within the UCR Program which collects supplemental statistical information on crimes which occur in a jurisdiction.

Probationary Status	A temporary status during which an agency's data is examined regularly by DPS. An agency may be placed into probationary status following non-compliance findings during an audit or upon egregiously unreasonable data submissions.
Quality Assurance Review	A routine or directed audit of an agency's compliance with UCR policy areas, and data submissions.
Technical Specifications	Programming coding or language which follows FBI or DPS reporting rules to produce a Bulk Data File when submitting via the Incident-Based Reporting (IBR) Method
Terminal Operator Certification	Certification received following satisfactory completion of the minimum requirements to directly access information derived from the Arizona Criminal Justice Information System (ACJIS).