



# Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

## 1.1 General Information

<b>Agency or State Entity Name:</b>	California Highway Patrol
<b>Organization Code:</b>	2720
<b>Proposal Name:</b>	Law Enforcement Records Management System
<b>Proposal Description:</b>	The California Highway Patrol (CHP) is to acquire and implement a new records management system (RMS) in support of the Federal Bureau of Investigation (FBI) mandate to transition from the Uniform Crime Reporting (UCR) Summary Reporting System (SRS) to the National Incident Based Reporting System (NIBRS) by January 1, 2021.
<b>When do you want to start this project?:</b>	09/01/2019
<b>Department of Technology Project Number:</b>	2720-118

## 1.2 Submittal Information

<b>Contact Information:</b>	
Contact First Name	Contact Last Name
Kevin	Lew
Contact Email	Contact Phone Number
<a href="mailto:Kevin.Lew@chp.ca.gov">Kevin.Lew@chp.ca.gov</a>	(916) 843-4355
<b>Submission Date:</b>	07/10/2019
<b>Version Number:</b>	1.0

### Project Approval Executive Transmittal

**Attachment:** See attached

## 1.3 Business Sponsorship

### Executive Sponsors

Title	First Name	Last Name	Business Program Area
Chief	Jim	Epperson	Enforcement and Planning Division
Assistant Chief	Kevin	Davis	Enforcement and Planning Division
Captain	James	Jacobs	Office of Internal Affairs
Manually insert rows to add additional Executive Sponsors			

### Business Owners

Title	First Name	Last Name	Business Program Area
Captain	Chris	Lane	Research and Planning Section
Captain	James	Jacobs	Office of Internal Affairs

*(Manually insert rows to add additional Business Owners)*

### Program Background and Context

The Department reports crime data to the California Department of Justice (DOJ), who then reports statewide data to the FBI. In 2016, the FBI Director informed all state Statistical Analysis Centers (SAC) the FBI UCR Program would be transitioning to a NIBRS-only data collection by January 1, 2021.



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In August 2016, Assembly Bill 2524, Chapter 418, also known as the OpenJustice Data Act of 2016, was amended such that Section 13010 (i) of the Penal Code requires the DOJ to annually report transition progress to the Legislature through 2019.

**Penal Code Section 13010 (i)**

“To evaluate, on an annual basis, the progress of California’s transition from summary crime reporting to incident-based crime reporting, in alignment with the federal National Incident-Based Reporting System, and report its findings to the Legislature annually through 2019, pursuant to Section 9795 of the Government Code.”

The Department currently uses the UCR SRS to report crime data. To improve the overall quality of crime data collected, the FBI has mandated law enforcement agencies transition to NIBRS. The NIBRS captures details on each crime incident, as well as on separate offenses within the same incident. The NIBRS allows for more detailed crime data, such as the ability to provide circumstances and context for crimes like location, time of day, and whether the incident was cleared. The SRS only reports an aggregate monthly tally of crimes.

The Department’s process for reporting crime data was developed around a paper-centric process. The paper form CHP 180, Vehicle Report, is prepared by the officer when a vehicle theft occurs. The paper form CHP 202, Driving Under the Influence Arrest – Investigation Report, is prepared by the officer when an arrest or investigation involving driving under the influence (DUI) of alcohol or drugs takes place. The paper form CHP 216, Arrest – Investigation Report, is prepared for all nonDUI arrests and all nonDUI felony criminal investigations. The paper form CHP 729, Uniform Crime Report, is completed by officers when completing CHP forms 180, 202, or 216, if the arrest is an UCR crime. The existing forms capture only 24 data elements of the 53 in the NIBRS specification.

The Department seeks to update its policies, procedures, and application systems to comply with the FBI NIBRS mandate. This project is to acquire and implement a commercial off-the-shelf NIBRS-compliant RMS by the January 1, 2021, deadline.

## 1.4 Stakeholders

**Key Stakeholders**

<b>Org. Name</b>	Name
California Department of Justice	Alyson Lunetta Terry Elm
<b>Internal or External?</b>	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External

**When is the Stakeholder impacted?**

Input to Business Process	During the Business Process	Output of the Business Process
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

**How are Stakeholders impacted?**

The DOJ manages a California-specific version of the NIBRS specification. California law enforcement agencies must comply with the California NIBRS specification.

**How will the Stakeholders participate in the project?**

The DOJ shall provide the California NIBRS specifications to CHP.  
The DOJ shall receive the Department’s NIBRS data.

*(Manually insert rows to add additional Stakeholders)*

<b>Org. Name</b>	Name
Information Technology Section	Jay Song, Commander Kim Holder, Application Services Group Manager



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<b>Internal or External?</b>	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External
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<b>When is the Stakeholder impacted?</b>		
Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<b>How are Stakeholders impacted?</b>
Responsible for supporting the business need from a technology perspective, ensuring information technology (IT) systems align with overall technology direction, and IT governance.

<b>How will the Stakeholders participate in the project?</b>
Information technology project sponsorship and steering committee member.

<b>Org. Name</b>	<b>Name</b>
Information Management Division	Scott Howland, Chief Information Officer (CIO) Jaeson White, Deputy CIO

<b>Internal or External?</b>	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External
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<b>When is the Stakeholder impacted?</b>		
Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<b>How are Stakeholders impacted?</b>
Responsible for supporting the business need from a technology perspective, ensuring IT systems align with overall technology direction, and IT governance.

<b>How will the Stakeholders participate in the project?</b>
Executive IT project sponsorship and steering committee member.

## 1.5 Business Program

<b>Org. Name</b>	<b>Name</b>
Research and Planning Section (RPS)	Chris Lane, Captain

<b>When is the unit impacted?</b>		
Input to the Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<b>How is the business program unit impacted?</b>
The RPS is responsible for UCR policies and procedures, which are expected to change with the implementation of an electronic RMS.

<b>How will the business program participate in the project?</b>
As the Office of Primary Interest, business sponsor and steering committee member. The RPS will provide input on the requirements and technical design through joint application development/configuration sessions, provide input and guidance towards testing, and train field-level staff.

*(Manually insert rows to add additional Business Programs)*

## 1.6 Business Alignment

<b>Business Driver(s)</b>			
<b>Financial Benefit</b>			
Increased Revenue	Cost Savings	Cost Avoidance	Cost Recovery
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Mandate(s)</b>	
State	Federal
<input type="checkbox"/>	<input checked="" type="checkbox"/>



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Improvement			
Better Services to Citizens	Efficiencies to Program Operations	Improved Health and/or Human Safety	Technology Refresh
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Security			
Improved Information Security	Improved Business Continuity	Improved Technology Recovery	Technology End of Life
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strategic Business Alignment			
Strategic Plan Last Updated?		(Enter date)	
Strategic Business Goal		Alignment	
<i>(Manually insert rows to add additional Business Goals and Alignment)</i>			
Executive Summary of the Business Problem or Opportunity			
The FBI has mandated all law enforcement agencies transition from the UCR SRS to NIBRS by January 1, 2021.			
Business Problem or Opportunity and Objectives Table			
Problem ID	Problems/Opportunities		
1	Ensure the Department is compliant with the FBI mandate for collecting and reporting NIBRS-compliant crime data.		
Objective ID	1.1		
Objectives	Provide a central repository for capturing NIBRS-compliant data.		
Metric	Required data points		
Baseline	24 (UCR SRS data points)		
Target	53 (NIBRS data points)		
Measurement Method	DOJ confirmation the Department has successfully reported NIBRS-compliant data.		
<i>(Manually insert rows to add additional Objectives)</i>			
<i>(Manually insert rows to add additional Problems)</i>			
Project Approval Lifecycle Completion and Project Execution Capacity Assessment			
1. Does the proposal development or project execution anticipate sharing resources (state staff, vendors, consultants or financial) with other priorities within the Agency/state entity (projects, PALs, or programmatic/technology workload)?			
<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear			
2. Does the Agency/ state entity anticipate this proposal will result in the creation of new business processes or changes to existing business processes?			
<input type="radio"/> No <input type="radio"/> New Processes <input type="radio"/> Existing Processes <input checked="" type="radio"/> Both New and Existing <input type="radio"/> Clear			
1.7 Project Management			
Project Management Risk Score:	14		
Attach completed Statewide Information Management Manual (SIMM) Section 45 Appendix A:	See attached		
Existing Data Governance and Data			



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<p>1. Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities? If an existing data governance org chart is used, please attach.</p>	<p> <input type="radio"/> Unknown  <input checked="" type="radio"/> Yes  <input type="radio"/> No  <input type="radio"/> Clear         </p>	<p>If applicable, include the data governance org chart as an attachment to your email submission.</p>
<p>2. Does the Agency/state entity have data governance policies (data policies, data standards, etc.) formally defined, documented, and implemented? If yes, please attach the existing data governance plan, policies or IT standards used.</p>	<p> <input type="radio"/> Unknown  <input checked="" type="radio"/> Yes  <input type="radio"/> No  <input type="radio"/> Clear         </p>	<p>If applicable, include the data governance policies as an attachment to your email submission.</p>
<p>3. Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented security policies, standards, and controls used.</p>	<p> <input type="radio"/> Unknown  <input checked="" type="radio"/> Yes  <input type="radio"/> No  <input type="radio"/> Clear         </p>	<p>If applicable, include the documented security policies, standards, and controls as an attachment to your email submission.</p>
<p>4. Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented policies, accessibility governance plan, and standards used, or provide additional information below.</p>	<p> <input type="radio"/> Unknown  <input checked="" type="radio"/> Yes  <input type="radio"/> No  <input type="radio"/> Clear         </p>	<p>If applicable, include the documented accessibility policies, standards, and controls as an attachment to your email submission.</p>
<p>5. Do you have existing data that you are going to want to access in your new solution?</p>	<p> <input type="radio"/> Unknown  <input type="radio"/> Yes  <input checked="" type="radio"/> No  <input type="radio"/> Clear         </p>	<p>If applicable, include the data migration plan as an attachment to your email submission.</p>
<p>6. If data migration is required, please rate the quality of the data.</p>	<p> <input checked="" type="checkbox"/> Not applicable  <input type="checkbox"/> No information available  <input type="checkbox"/> Significant issues identified with the existing data  <input type="checkbox"/> Some issues identified with the existing data  <input type="checkbox"/> Few issues identified with the existing data         </p>	

## 1.8 Criticality Assessment

### Business Criticality

Legislative Mandates:	N/A <input type="checkbox"/>	
Bill Number(s)/Code(s):		
Language that includes system relevant requirements:		
Business Complexity Score	3.4	See attached

### Noncompliance Issues

Indicate if your current operations include noncompliance issues and provide a narrative explaining the how the business process is noncompliant.



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Programmatic Regulations	HIPPA/CJIS/FTI/PII/PCI	Security	ADA	Other	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

1. What is the proposed project start date? 09/01/2019
2. Is this proposal anticipated to have high public visibility?  Yes  No  Clear

If "Yes," please identify the dynamics of the anticipated high visibility below:  
 Crime reported in California will have more detailed information. The NIBRS specification allows more details about specific crimes to be reported. These details include characteristics such as age; sex; race of victims, offenders, and arrestees; value of property; offender's bias motivation toward the victim's real or perceived race, religion, ethnicity, sexual orientation, or physical or mental disability; and information regarding law enforcement officers killed or assaulted.

3. If there is an existing Privacy Information Assessment, include as an attachment to your email submission.

4. Does this proposal affect business program staff located in multiple geographic locations?  Yes  No  Clear

If "Yes," provide an overview of the geographic dynamics below and enter the specific information in the space provided.  
 The CHP has 103 Area offices and nine Divisions located throughout the state serving local communities in 58 counties, and 17 commercial vehicle inspection facilities performing safety inspections.

City	State	Number of Locations	Approximate Number of Staff
Statewide		103 Area offices, 17 Commercial Vehicle Enforcement Facilities, nine Divisions	7,400 uniformed personnel

*(Manually insert rows to add Locations)*

## 1.9 Funding

1. Does the Agency/state entity anticipate requesting additional resources through a budget action to complete the project approval lifecycle?  Yes  No  Clear
2. Will the state possibly incur a financial sanction or penalty if this proposal is not implemented? If yes, please identify the financial impact to the state below:  Yes  No  Clear
3. Has the funding source(s) been identified for this proposal?  Yes  No  Clear

FUNDING SOURCE		FUND AVAILABILITY DATE
General Fund	<input type="checkbox"/>	(Enter date)
Special Fund	<input type="checkbox"/>	(Enter date)
Federal Fund	<input type="checkbox"/>	(Enter date)
Reimbursement	<input type="checkbox"/>	(Enter date)
Bond Fund	<input type="checkbox"/>	(Enter date)
Other Fund	<input checked="" type="checkbox"/>	To be determined.

If "Other Fund" is checked, specify the funding: 1. Application for National Crime Statistics eXchange federal grant has been awarded in the amount of \$4.5 million.



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## 1.10 Reportability Assessment

<p>1. Does the Agency/state entity's IT activity meet the definition of an IT Project found in the State Administrative Manual (SAM) Section 4819.2? If "No," this initiative is not an IT project and is not required to complete the Project Approval Lifecycle.</p>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear
<p>2. Does the activity meet the definition of Maintenance or Operations found in SAM Section 4819.2?  If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report. And provide an explanation below.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>3. Has the project/effort been previously approved and considered an ongoing IT activity identified in SAM Section 4819.2, 4819.40?  If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>4. Is the project directly associated with any of the following as defined by SAM Section 4812.32?  Single-function process-control systems; analog data collection devices, or telemetry systems; telecommunications equipment used exclusively for voice communications; Voice Over Internet Protocol (VOIP) phone systems; acquisition of printers, scanners and copiers.  If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>5. Is the primary objective of the project to acquire desktop and mobile computing commodities as defined by SAM Section 4819.34, 4989?  If "Yes," this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity. Submit a copy of the completed, approved Stage 1 Business Analysis to the CDT and track the initiative on the Agency Portfolio Report.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>6. Does the project meet all of the criteria for Commercial-off-the-Shelf (COTS) Software and Cloud Software-as-a-Services (SaaS) delegation as defined in SAM 4819.34, 4989.2 and SIMM 22  If "Yes," this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity; however, submit an approved SIMM Section 22 form to CDT.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>7. Will the project require a Budget Action to be completed?</p>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear
<p>8. Is it anticipated that the project will exceed the delegated cost threshold assigned by CDT as identified in SIMM 10?</p>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear



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<p>9. Are there any previously imposed conditions place on the state entity or this project by the CDT (e.g., Corrective Action Plan)?</p> <p>If "Yes," provide the details regarding the conditions below.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>10. Is the system specifically mandated by legislation?</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear

## Department of Technology Use Only

Original "New Submission" Date	12/19/2019
Form Received Date	12/19/2019
Form Accepted Date	12/19/2019
Form Status	Completed
Form Status Date	12/19/2019
Form Disposition	Approved
If "Other," specify:	
Form Disposition Date	12/19/2019