Colorado Automobile Theft Prevention Authority

Template Guide for Funding an ALPR

ALPR Standards and Requirements

This document is provided to law enforcement partnerships requesting funding of automated license plate readers using CATPA cash funds. This is a subsequent document to the ALPR Standards and Requirements, approved by the CATPA Board of Directors on July 21, 2016. This document is intended for use by the CATPA Board of Directors, CATPA Office and Grant Projects requesting or being funded through the CATPA Cash Fund.

Revised 11/18/2016
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PURPOSE

This Template Guide for Funding ALPR is intended to be used by Project Directors considering the use of CATPA funds to procure, enhance or otherwise replenish automated license plate reader system. CATPA has published this guide to aid in the management, administration, procurement and planning for law enforcement Project Directors. This Guide should be used in concert with appropriate legal counsel, administrative fiscal agency direction and considerations to harness and strengthen partnerships to prevent, enforce and prosecute auto theft and related crimes.

This Template Guide originates from the CATPA ALPR Standards and Requirements, passed by the CATPA Board on July 21, 2016. The Standards and Requirements were established in response to continuation of funding for law enforcement grant applicants in procuring ALPR. Historically, CATPA has provided funding of ALPR projects to law enforcement agencies, where these projects have demonstrated high levels of efficiency and effectiveness in identifying, interdicting and apprehending stolen vehicles and criminal offenders. CATPA has experienced that appropriate funding of law enforcement ALPR systems can evidence efficient investment value return when simply considering the amount of funds expended to support the ALPR system contrasted with the estimated fair market value of recovered stolen vehicles identified by the ALPR. The ALPR funding requirements will be considered when contemplating continuation or initiation of an ALPR project. This Template Guide summarizes the Standards and Requirements and should be used to assist in the continuation, initiation or enhancement of a CATPA funded ALPR project.
GENERAL GUIDANCE

This Template Guide primarily contains three sections for the Project Director to consider. The first, Evaluation and Assessment, should be used to document the requesting agency’s environmental conditions and preparedness for deploying a funded ALPR. This checklist is not all inclusive, as other observations or notations may need to be performed by the Project Director, such as the strength of certain conditions (e.g., policies and procedures, organizational readiness, implications of deploying an ALPR to increase service time, etc.). Please note the Evaluation and Assessment does not provide the justification for why an agency needs an ALPR. This justification is outside the scope of this document.

The second section is a Sample Letter of Commitment. The exact content of the sample is not required. Abbreviations and modifications can be made to the template to accommodate unique conditions of the request. Because non-fiscal grant agencies do not have a written agreement with CATPA, the purpose of the Letter of Commitment is to document and establish and understanding that the requesting agency is willing to comply with the CATPA Standards and Requirements.

The third section is a Sample Memorandum of Understanding. Again, this sample is offered to guide the Project Director in facilitating an agreement between law enforcement agencies to share ALPR data. As a note, CATPA does not intend to be a party in the MOU between two or more law enforcement agencies agreeing to share ALPR information. In the event a funded ALPR is purchased without the capability of data sharing, CATPA does not believe the MOU is necessary. In the event the funded ALPR will connect to a statewide database, the MOU will be applicable between the State and the non-state entity.
SECTION 1. LAW ENFORCEMENT ALPR ARCHITECTURE

1. Is the ALPR architectural design compliant with federal, state and local laws, regulations and policies? ☐ Yes ☐ No

2. Does the ALPR architecture consider database systems and information sharing to be treated as FOUO and managed by a law enforcement agency? ☐ Yes ☐ No

3. Is the ALPR architecture and software applications configured to comply with provisions of §24-72-113 C.R.S.? ☐ Yes ☐ No

4. Is the ALPR architecture and software applications managed or controlled by the Grant Project Agency or an assigned Colorado law enforcement agency? ☐ Yes ☐ No

5. Are there existing Memorandums of Understanding or Inter Governmental Agreements in place for the authentication, use and access of CATPA funded ALPR devices and database? ☐ Yes ☐ No

SECTION 2. AUTHORIZED USES OF CATPA FUNDED ALPR

6. Does the grant project intend to use the ALPR devices and database for tactical purposes? ☐ Yes ☐ No

7. Does the grant project intend to use the ALPR devices and database for investigative purposes? ☐ Yes ☐ No

8. Does the grant project intend to use the ALPR devices and database for crime analysis purposes? ☐ Yes ☐ No

9. Does the grant project intend to use the ALPR devices and database for administrative reporting purposes? ☐ Yes ☐ No

10. Does the Grant Project Agency have written policies and procedures that address the use of the ALPR devices and database? ☐ Yes ☐ No

SECTION 3. AUTHORIZED USERS

11. Does the Grant Project Agency manage, control and update authentication for personnel authorized to use, access and retrieve CATPA funded ALPR equipment, devices and related databases? ☐ Yes ☐ No

12. Does the Grant Project Agency have written policies and procedures on authorized users for CATPA funded ALPRs? ☐ Yes ☐ No

SECTION 4. RETENTION OF ALPR DATA

13. Does the Grant Project Agency limit database retention of CATPA funded ALPRs to no more than 1 year? ☐ Yes ☐ No

14. Does the Grant Project Agency have written policies and procedures on database retention of CATPA funded ALPRs? ☐ Yes ☐ No

SECTION 5. ALPR DEVICES

15. Has the Grant Project Agency completed and submitted the CATPA Inventory Certification Form for purchased CATPA funded ALPR devices? ☐ Yes ☐ No

16. Does the Grant Project Agency have a written policy or procedure to download the CCIC Hotlist prior to daily use of a CATPA funded ALPR device? ☐ Yes ☐ No

17. Does the Grant Project Agency have a written policy or procedure which specifies the primary use of CATPA funded ALPR is for the investigation and recovery of reported stolen vehicles. ☐ Yes ☐ No

18. Does the Grant Project Agency have a written policy or procedure which addresses operational confirmation of stolen vehicles, the necessity for recovery, when ☐ Yes ☐ No
<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
<td>19. Does the Grant Project Agency understand ALPR reporting requirements</td>
<td>☐</td>
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<td>as established through the approval of the grant award and/or Grant</td>
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<td>20. Has the Grant Project Agency designed or implemented information</td>
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<td>sharing capabilities of CATPA funded ALPR systems?</td>
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<td>21. Has the Grant Project Agency designed or implemented information</td>
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<td>sharing capabilities of CATPA funded ALPR systems using Nlets?</td>
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<td>22. Does the Grant Project Agency have written policies and procedures</td>
<td>☐</td>
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<td>pertaining to information sharing of CATPA funded ALPR data?</td>
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<td>23. Is the Grant Project Agency willing to seek enhancing information</td>
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<td>sharing capabilities of CATPA funded ALPR data among CATPA funded law</td>
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<td>enforcement partnerships and task force personnel utilizing a CATPA</td>
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<td>ALPR Web Service?</td>
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<td>24. Is the Grant Project Agency willing to seek enhancing information</td>
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<td>sharing capabilities of CATPA funded ALPR data among applicable</td>
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<td>Colorado CCIC users?</td>
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<td>25. Is the Grant Project Agency willing to seek enhancing information</td>
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<td>sharing capabilities of CATPA funded ALPR data among applicable NCIC</td>
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<td>users?</td>
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<td>26. Does the Grant Project Agency send data from CATPA funded ALPRs to</td>
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<td>any non-governmental entity?</td>
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<td>27. Does the Grant Project Agency have written policies and procedures</td>
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<td>on information sharing with specific non-governmental entities to</td>
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<td>ensure data retention and information sharing is compliant with</td>
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<td>federal, state and local laws and regulations?</td>
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<td>28. Is the Grant Project Agency willing to submit ALPR data results,</td>
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<td>consistent with the CATPA Reporting Requirements, such as the number</td>
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<td>of ALPR reads, hours deployed, number of hits and number of stolen</td>
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<td>vehicle recoveries?</td>
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<td>29. Is the Grant Project Agency willing to maintain, service, and invent</td>
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<td>ory the ALPR for a minimum of 5 years from the date of the CATPA</td>
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<td>funding?</td>
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SAMPLE LETTER OF COMMITMENT

[Date of Letter]

From: [Chief Executive Officer Title and Name]  
[Agency Name]  
[Agency Address]  
[City, State and Zip Code]

To: Colorado Automobile Theft Prevention Authority  
710 Kipling Street, Suite 106  
Lakewood, Colorado 80215

Subject: Letter of Commitment for CATPA Funded ALPR

Consistent with the CATPA Project Grant Agreement [CATPA Grant Agreement Number] between the Colorado Automobile Theft Prevention Authority and [Grant Project Fiscal Agency Name], this agency would request funding to support the purchase of [Number] Automated License Plate Reader system(s). The [Grant Project Title] Grant Project Director, [Project Director Name], has completed the attached evaluation and assessment for consideration of funding. Should the Colorado Automobile Theft Prevention Authority provide reimbursable funding for the purchase of the automated license plate reader system(s), this agency will commit to the following:

☐ Maintain an inventory of the funded ALPR device(s) for a period of 5 years from the date of purchase,

☐ Report measureable activities of the funded ALPR devices as required by CATPA,

☐ Deploy the funded ALPR for the primary purpose of locating stolen vehicles,

☐ Comply with applicable federal and state laws related to ALPR data sharing, retention and retrieval,

☐ Ensure appropriate policies and procedures are in place for the use of the funded ALPR,

☐ Cooperate with CATPA to perform on-site inspection of the funded ALPR device(s) and, if applicable, funded database, and

☐ Seek enhanced information sharing of the funded ALPR device(s) based on the development, integrity and compatibility of a CATPA funded statewide ALPR information sharing system.

Understanding any of the above provisions do not have a good faith effort for completion, the CATPA Board retains the right to relocate the funded ALPR to another law enforcement agency.

Submitted by:  
[Chief Executive Officer Title and Name]

Supported by:  
[Grant Project Director Name]

CATPA Board Acceptance

[Date of CATPA Board Acceptance]  
[CATPA Director Title and Name]
SAMPLE MEMORANDUM OF UNDERSTANDING
BETWEEN
(HOST AGENCY)
AND
[PROPOSED AGENCY]

BACKGROUND
[Name of Host Agency Project] is an initiative of the [Host Agency] to create an information sharing system designed to replicate, maintain, and share law enforcement license plate reader systems from all participating state and local public safety agencies within the [State of Name or region of Name].

CONCEPT
The goal of this project is to share license plate recognition data among all contributing agencies that have established this Memorandum of Understanding with [Host Agency System]. Participating agencies will share license plate reader (LPR) information for replication to the data warehouse or as part of a central querying system hosted by [Hosting Agency System] and will have the capability to query all LPR based information from around the [State or Region] which is stored within the warehouse.

PURPOSE
This Memorandum of Understanding (MOU) sets forth an agreement between and defines the roles and responsibilities of [Host Agency] and the [Proposed Agency], in implementing connectivity to [Host Agency System].

RESPONSIBILITIES
[Host Agency]
The roles and responsibilities of [Host Agency] in this MOU are as follows:

- [Host Agency] will establish the [Name of the Host Agency System] as a shared information system to the benefit of all public safety agencies in the [State or Region].
- The [Host Agency] will appoint a project manager to oversee [Name of Host Agency Project] and implement the terms and conditions of this MOU.
- [Hosting Agency] will direct the management of all obligations, responsibilities, and assets of [Name of Host Agency System], including but not limited to:
  - Any and all contractual obligations for development, implementation, expansion, maintenance, and management of [Name of Host Agency System],
  - Ownership of any and all equipment in the inventory of [Name of Host Agency System], including but not limited to servers, workstations, communications devices, routers, firewalls or other hardware, and all software in use or under

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1 LPRD Handbook, License Plate Recognition Data, SPAWAR Systems Center, Atlantic, 2010
development in compliance with the requirements of [Name of Host Agency System].


- [Host Agency] will design and implement a governance structure appropriate to the proper operational maintenance of [Host Agency], and providing appropriate levels of input to all participating agencies.

- [Host Agency] will adopt Security Policies and Procedures as may be consistent with appropriate security and maintenance of the system for all participating agencies. This document shall become the governing MOU for participation in [Host Agency System] upon ratification of the participating agencies.

- [Host Agency] will ensure that appropriate personnel are made available as reasonably necessary to assist with development, implementation, and testing of any hardware/software solutions, as well as for any training required, for the purposes of this project.

- [Host Agency] will assist in obtaining the cooperation of any third party contractor or vendor approved by them to provide license plate reader systems in [Name of State or Region] and/or internal or external technology providers (e.g. [State/Region] CIO / Other [State/County/City] Agencies / [Host Agency] information technology staff) as may be reasonably necessary for the purposes of this project.

- [Host Agency] will assist in creation of the lessons learned and final reporting and documentation of the project. The input provided by [Host Agency] will be utilized for future distributions and use of the system at other hosting agencies.

[Proposed Agency]

The roles and responsibilities of the [Proposed Agency] in this MOU are as follows:

- The [Proposed Agency] maintains sole authority and responsibility for determining the actions, if any, that are appropriate for the department’s information technology environment, and for implementing any changes deemed to be appropriate to the purposes of this project.

- The [Chief Executive Officer Title] of the [Proposed Agency], or an appropriate designee, will be available, as reasonably required, to give guidance and approval to technical and non-technical requirements of this assistance project.

- The [Chief Executive Officer Title] of the [Proposed Agency] will adopt [Name of Host Agency System] Security Policies and Procedures document, which is the governing MOU for participation in [Name of Host Agency System], and agrees to remain in compliance with the requirements, policies, and practices as outlined therein for the duration of the [Proposed Agency]’s participation in [Name of Host Agency System].

- The [Chief Executive Officer Title] of the [Proposed Agency] will appoint a representative as the agency’s (Name of Host Agency System) Project Manager who will be responsible for the overall coordination of the project on behalf of the department.
The [Proposed Agency] will make reasonable accommodations for access by [Host Agency] staff to their facilities and license plate reader system as may be required in furtherance of this project.

The [Proposed Agency] will ensure that appropriate personnel are made available as reasonably necessary to assist with development, implementation, and testing of any hardware / software solutions, as well as for any training required, for the purposes of this project.

The [Proposed Agency] will assist in obtaining the assistance of any third party contractor or vendor associated with their license plate reader system and / or internal or external technology providers (e.g. county / municipal information technology staff) as may be reasonably necessary for the purposes of this project.

[Proposed Agency] will assist in creation of the lessons learned and final report of the project.

[All Agencies]
The roles and responsibilities of all agencies in this MOU are as follows:

- All contributing agencies shall develop and maintain an LPR data usage policy that addresses privacy concerns. Such usage policy may be derived from the International Association of Chiefs of Police publications pertaining to license plate readers.

- The ownership of the data that is contributed in this system shall remain with the contributing agency. Therefore, all ownership rights are to the sole authority and responsibility of the contributing agency. The data in this system is shared by the contributing agency, for the communal use by other law enforcement and government agencies that have this signed agreement with [Host Agency], but shall adhere to the contributing agency’s usage policy when using the contributing agency’s data. All data use and handling shall comply with the current laws and statutes with respect to the data.

- The [Host Agency] shall develop and maintain an LPR data retention policy that can addresses privacy concerns in accordance with current federal and state legislation and statutes, and may be limited by system capability. All contributing agencies shall adhere to the data retention policy until such time that the [Proposed Agency] has developed their own policy. At that time, the [Proposed Agency] may submit a memorandum to this MOU to address the retention of the data owned by The [Proposed Agency]. Such data retention policy may be derived from the International Association of Chiefs of Police publications pertaining to license plate readers.

FUNDING
Any costs associated with maintenance, upgrade, or changes required directly to the contributing agency’s LPR system or existing computer network in order to accommodate implementation of [Name of Host Agency System] interfaces and replication, or costs incurred on behalf of [Name of Host Agency System] as a result of changes to the agency system(s)...
which adversely affect [Name of Host Agency System] replication, may be the responsibility of the [Proposed Agency].

ACKNOWLEDGEMENT

[Host Agency] anticipates the duration of this implementation to be [Period of Agreement Term], but may be extended at the discretion of the [Chief Executive Officer Title] of [Host Agency] if requested by the [Proposed Agency]. Such extension must be documented through appropriate addendum to this MOU agreeable to both parties.

This Memorandum of Understanding will be effective upon signature of all parties.

[Host Agency Name]  [Proposed Agency Name]
[Host Agency Street Address]  [Host Agency Street Address]
[Host Agency City, State, Zip Code]  [Host Agency City, State, Zip Code]

[Chief Executive Officer Title] Signature  [Chief Executive Officer Title] Signature

[Chief Executive Officer Printed Name]  [Chief Executive Officer Printed Name]

Date  Date