

RECORDS UNIT OPERATIONS

PURPOSE

This policy establishes standard procedures for -----Police Department Records Unit operations. Also see Policy XXXX: Records Management for further information.

1. DEFINITIONS

- A. **"Public record"** according to **STATUTE-----**includes any writing containing information relating to the conduct of government or the performance of any governmental or proprietary function prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.
- B. **"Public records"** as used in **STATUTE-----**shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of ----- in connection with the transaction of public business, and legislative records as described in STATUTE-----
- C. **CJIS Security Policy:** Criminal Justice Information Services Security Policy is an FBI mandated set of rules and standards governing access to and management of criminal justice information and technology systems including NCIC and state and local systems containing criminal justice information.
- D. **RMS** This is the records management system (RMS) currently utilized by the ----
- Police Department.
- E. **RMS System Administrator:** The person designated by the ----- Police Department to oversee and manage the use and functionality of the RMS system as used by the department including the proper administration of user rights levels, system security, updates and access.
- F. **NICS:** The National Instant Criminal Background Check System is a computerized system designed to immediately determine if a person is disqualified from receiving or possessing firearms by conducting a search of available records.

The use of the NICS is only authorized for the transfer of a firearm, for the issuance/renewal of a concealed pistol license and for the Disposition of a Firearm (DOF) from evidence. The NICS Index contains prohibiting information that may not be found in the Ill system or the NCIC.

- G. NCIC:** National Crime Information Center is a computer system managed by the FBI utilized for entering, querying, and managing criminal justice information from law enforcement agencies nationwide including criminal record history information, fugitive information, stolen properties, missing persons. It is available to Federal, state, and local law enforcement and other criminal justice agencies.
- H. TAC:** Terminal Agency Coordinator is the employee designated by the ----- Police Department to serve as the point of contact for matters relating to CJIS information access. The TAC administers CJIS systems programs within the ----- -- Police Department and oversee the Department's compliance with CJIS policy.
- I. Records Officer:** The person designated per ----- at the ----- Police Department as the Records Officer. The Records Officer is the department's Records Manager.
- J. Records Management Committee:** A committee comprised of employees representing a cross-section of the department who meet on a bi-weekly basis responsible for monitoring records management activities and issues including but not limited to reporting writing, technology, crime data, case management, records retention and training. This committee will also, by a majority vote, approve and recommend to command staff any needed policy and procedure changes, produce and update the department's report writing manual and maintain and distribute meeting minutes to all committee members. The Records Manager will serve as the Committee Chairperson.
- K. Retention Schedules:** A set of minimum time periods that records must be retained for as approved by the ----- State.
- L. Records Series:** A group of records that serve the same purpose and are of the same or similar type. Retention schedules are assigned to each record series.
- M. National Incident Based Reporting System:** the federally regulated system for reporting crime statistics to the ----- also known as IBR.
- N. Document Imaging:** The process of digitizing paper records via scanning.
- O. Public Disclosure Requests:** A request for copies of ----- police records as governed by -----and City/County of ----- Policy.

P. Report Turnaround Time: The timeframe from when a report is submitted by an officer to the time it is approved by the Records Unit.

2. Unit Organization

The Records Unit will be staffed according to the following positions and duties:

A. STAFF

1. Records Manager: the records manager will supervise the Records Unit and is the designated Records Officer for the Department as per statute-----

2. Lead Records Specialist:

3. Records Specialist:

B. Duties and Responsibilities:

1. The Records Unit is responsible for the proper management of each stage of the information lifecycle as described in this policy. This lifecycle applies to all agency records and is comprised of six stages: creation, collection, processing, maintenance, dissemination and disposition.

2. Creation of Records

The Records Unit will monitor case numbers on a daily basis to ensure the appropriate report has been written and/or submitted for each case or traffic related incident. Reports shall be submitted to a supervisor by the end of each shift for review, correction and/or approval and subsequent submission to the Records Unit.

3. Collection of Records

The Records Unit will ensure the collection of the following records daily:

4. Processing of Records

Records personnel will review all incident reports, arrest reports, supplemental reports, accident reports and citations for mistakes and ensure their correction. Reports will be read in entirety to identify if there are any errors, missing or incorrect information.

a) Name and address verification procedure...

b) Incident report errors

These items will be rejected to the reporting officer and/or approving supervisor for correction:

1. Missing property entry
2. Missing detail pages
3. Missing property/vehicle values
4. Incorrect offense dates/times
5. Incorrect personally identifiable information for all persons listed in the report
6. Incorrect date/time the report was written
7. Incorrect classification (title)
8. Missing classifications
9. Other missing required information
10. Others as deemed by a supervisor or by the Records Unit

These items may be corrected by Records Personnel:

11. Incorrect case number
12. Incorrect offense address
13. Grammar, punctuation, spelling
14. Missing IBR data
15. Incorrect offense location type
16. Incorrect property type code
17. Incorrect vehicle type code
18. Incorrect persons type code
19. Incorrect case status or clearance code
20. Missing LEOKA information
21. Missing hate crime information
22. Missing routing information

c) Supplemental Report Errors

Supplements will be reviewed to determine if any additional persons, property or vehicles need to be added to a report, if the case status should be changed....

d) Arrest Report Errors

Arrests will be reviewed to determine if...

e) Accident Report Errors

Accident reports will be reviewed to determine if...submitted...complete...

f) Citation Errors

Citations will be reviewed

g) Error notification/tracking process (describe process for entering/tracking mistakes using [system...])

1. Report turnaround time should be 2-3 days
2. Error rate should be less than four percent
3. Describe how officers and reviewing supervisor with high error and review rates will be handled (training...?)

h) Challenges to Accuracy of Records

1. All requests for correction of records by non-departmental employees shall be in writing. Application may only be made by a person listed in a report.
2. The Records Manager shall consider the application and either grant or deny the request in collaboration with the reporting officer and/or assigned detective.
3. If the request for correction is granted, the Records Manager shall take the necessary action to correct the record.
4. If the request for correction is denied, the Records Manager shall notify the applicant of the grounds for refusal. The Records Manager shall have thirty days from the date of the request to make a determination and may notify the applicant in writing. If additional time is needed to consider a request, the Records Custodian may notify the applicant in writing.

i) NCIC procedures (entry, modify, cancels, hit procedure, quality checks...)

j) Warrant procedures (entry, modify, cancels, hit procedure, quality checks...)

k) Protection Orders procedures...

l) Incident Based Reporting procedures (who will do monthly report, etc...)

m) Concealed Pistol Licensing procedures

n) Court Ordered Seal/Expungements

Suggest creating a master name record “sealed record” and “expunged record”. Describe process for redacting and whether these records will be kept or destroyed...

5. Records Maintenance

a) The Records Unit will maintain records according to the policies set forth in the Records Management Policy XXXX . The Records Unit will be the custodian of all ----- original records.

b) Investigative case files maintained by detectives will be maintained by the investigator until the investigation is complete. Once complete, the case file shall be given to the Records Unit for processing.

c) Employee training records will be maintained in...

d) Personnel records will be maintained in...

e) Other....

f) Document Imaging: All supporting documentation will be imaged and maintained as follows:

6. Public Disclosure Requests procedures (reconcile with existing City/County policy). [Include provision for notifying employees when they are subject of a public records request]

7. Records Disposition

The Records Unit will manage an annual records destruction process according to ----- approved records retention schedules and City/County of ----- Policy.

a) Each division will have a designated Records Liaison who will coordinate annually with the Records Manager to oversee the destruction of each division’s records which are eligible for destruction.

b) The Records Manager will submit ----- State Archives Forms....

8. Training. Records personnel will attend annual public records and NIBRS training as scheduled by the Records Manager.