

GENERAL ORDER

G.O. 9-821

SUBJECT: RECORDS



DATE EFFECTIVE: January 1, 2002
DATE WRITTEN: 06/30/00 DAB AMMENDED: 09/14/10
AMENDS: New
DISTRIBUTION: ALL PERSONNEL
A.S. 1.7.5 1.10.1 1.10.2 1.10.3 1.10.4 1.10.7 2.5.6 2.8.2 2.8.6 2.8.7 3.3.5 3.7.2 3.7.3 3.7.4
ADMIN: Signature On Issue.
SIGNATURE:
INDEX: ARREST RECORDS, CASE FILES, FILES, REPORT FILES

I. PURPOSE AND RESPONSIBILITY:

- A. Purpose: To set the policy and establish the procedures concerning the maintenance of records at the Monroe Police Department.
- B. Responsibility:
 - 1. It will be the responsibility of Support Services Division (SSD), Records Unit personnel to maintain the records of this Department in accordance with this directive and applicable state and federal statutes.
 - 2. It will be the responsibility of all Department personnel to accurately complete Department forms by obtaining the required information.
 - 3. It will be the responsibility of supervisory personnel of this Department to review reports to ensure accuracy, completeness, and neatness.
 - 4. It will be the responsibility of the Captain to devise and amend Department forms to ensure that informational needs and record keeping requirements of

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this Department are satisfied.

5. It will be the responsibility of the Chief of Police to cause an annual audit and evaluation of the record keeping function of this Department.
6. It will be the responsibility of SSD Records Unit personnel to assign a personal criminal history identification number (CHIN) to persons that have been arrested and charged with violations of state statutes and/or municipal ordinances.

II. DISCUSSION:

- A. This general order deals with the record keeping function of this Department. The central records function is important to the effective delivery of law enforcement services. It serves as a historical base for activities of the Department and serves as a basis for the calculation of future needs of the Department. To ensure an effective and efficient record keeping system, responsibility is placed at various levels within the Department. There is the responsibility for officers and Communications Unit personnel to obtain all the necessary and required information and to accurately record such information on the appropriate Department forms. Supervisors are charged with the responsibility to review reports to ensure accuracy and completeness. SSD Records Unit personnel are charged with the maintenance of reports and records to facilitate accurate entry into the system, retrieval of information in a timely fashion, and dissemination of record information in a manner consistent with the law. A failure anywhere in this chain can have serious ramifications on this Department.

III. DEFINITIONS:

- A. **CASE/INCIDENT NUMBER:** A number assigned by the Support Services Division (SSD) Communications Unit identifying a particular call for service or reported criminal or motor vehicle incident, on a chronological basis, at the time the information or call for service is received.
- B. **CRIMINAL HISTORY IDENTIFICATION NUMBER:** A number assigned by SSD Records Unit to persons who have been arrested and/or charged with violations of state law or municipal ordinance. This number is assigned to only one person and is used to identify that person indefinitely.

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IV. POLICY:

- A. It will be the policy of the Monroe Police Department to maintain an accurate, complete, and efficient central records keeping system designed to record, file, retrieve, and disseminate information in an efficient and timely manner.
- B. It will be the policy of the Monroe Police Department to release or disseminate information from Department records in accordance with state and federal law enacted to safeguard the rights of individuals named within these records.

V. PROCEDURES:

A. RECORDS ADMINISTRATION:

- 1. **RECORDS SECURITY AND PRIVACY:** Records include the Master Case Files and Criminal History Files. The following procedures establish the security and privacy precautions for this Department's records:
 - a. **Juvenile Records:** Arrest and identification records of juveniles are maintained and secured in a separate file in the SSD records room. Computerized juvenile records are password protected and only accessible to the System Administrator, the Chief of Police, the Captain, the Youth Officer, the Youth Officers supervisor, and the Records Unit clerks.
 - b. **Juvenile Identification:** The following are procedures for the collection, retention, and dissemination of fingerprints, photographs, and other forms of identification pertaining to juveniles:
 - 1. **Fingerprinting and Photographing:**
 - aa. Any juvenile charged with a crime shall be required to submit to the taking of his/her fingerprints, photographs, and physical description. Where feasible, every juvenile referred to court should be so identified.
 - bb. When taking fingerprints from a juvenile, the officer will use only a UAR fingerprint card.

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2. Retention and Use: During the period of time that the juvenile arrestee's photograph, fingerprints, and the records of the arrest are retained at this Department, they shall be used only for identification purposes in official criminal investigations;
3. Other Forms of Identification: Procedures for obtaining physical samples from juvenile arrestees such as hair, blood, urine, nails, breath, or stomach contents will be the same as an adult arrestee.
 - c. Records Security and Access: The Master Case Files and the Criminal History Files for this Department are located in the SSD Records Unit office. This office is a securable room. Two SSD Records Unit clerks are also located in this office and help maintain security of the files. Officers of this Department shall be accorded access to the records. No officer shall remove a case from the files without completing a withdrawal form. The withdrawal form indicates the case/incident number, the officer, and the date of removal.
 - d. Release of Information: Dissemination of information contained in written reports and criminal histories to outside agencies and persons will be made through SSD Records Unit. Records Unit personnel have received training in the State and Federal dissemination laws.
2. RECORDS RETENTION: Records of this Department will be maintained in accordance with state statutes governing the retention of records. Refer to the State of Connecticut, Public Records Administration publication for the retention of police department records; Schedule VII, Police Department Records, Part 1 and Part 2.
3. NATIONAL INCIDENT BASE REPORTING SYSTEM (NIBRS): This Department participates in the NIBRS program. This Department's reports are designed to obtain the necessary crime data for the NIBRS program. SSD Records Unit record and submit NIBRS report information to the State of Connecticut Department of Public Safety, Division of State Police Crimes Analysis Unit on a monthly basis.
4. RECORDS ACCESSIBILITY: The SSD Records Unit office will be locked during those times when the Records Unit clerk is not available. Access to

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the Records Unit files may be accessed on a twenty-four hour basis by all authorized personnel who are issued a key card for the records room office.

5. REPORT STATUS: The following procedures ensure that the status of reports are accounted for:
 - a. Department Reports: Incident reports are completed on Department incident report forms. Three copies are generated. The first copy will be maintained by the SSD Records Unit in the master case files. The second copy will be reviewed by the Patrol Division Commander, and kept in a binder in the patrol roll call room. The third copy of the report form is reviewed by the Detective Division Supervisor and retained by the investigating officer if needed.
 - b. Completion: All reports on incidents of a serious nature shall be turned in to the supervisor by the end of shift, regardless of whether the investigation is open or closed. Examples of this would be arrests of any kind, fatal or serious injury accidents and any incident of serious juvenile offenses. All other reports that are unfinished or incomplete, will be turned in on the Officer's next work day. Unfinished or incomplete reports shall be kept in the "pending" file.
 - c. Review: The Patrol Division (PD) Supervisors and the Detective Division (DD) Supervisor will review all incident reports in RMS and open cases on a regular basis. This will ensure that cases are being investigated in a timely fashion, suspended, or closed if circumstances dictate.

6. RECORDS MANAGEMENT SYSTEM: The integrity of a computer system is only as good as the security system in place. To ensure the integrity of the RMS, the Captain will conduct an annual audit of the security measures in place. The following measures are incorporated into the RMS:
 - a. System incorporates log-in protection;
 - b. System looks for a specified location and will not connect if it does not recognize the location or the person logging on;

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- c. Verification of all passwords;
 - d. Verification of all access codes; and
 - e. Access violations.
7. **SOFTWARE:** The introduction of outside disks or software could result in virus infection of the host system. No outside software is allowed to be loaded on any Department-owned computer. Only licensed programs will be used on the computers of this Department unless others are authorized by the Chief of Police.
8. **FILES, BACK-UP, AND STORAGE:** All data maintained in the Records Management System and Computer-Aided Dispatch is located on two separate servers that have a completely redundant system and a tape backup. The backup tapes will be changed daily and stored in a fireproof safe in the Captains office.
9. **CRIMINAL HISTORY FILES:** The criminal history files of this Department are paper files maintained in the master case file located in the Support Services Division Records Unit office. Access to and dissemination of state and federal criminal history records shall be in accordance with applicable state and federal statutes.

B. **FIELD REPORTING AND MANAGEMENT:**

1. **REPORTS AND PROCEDURES:**
- a. **Field Reporting:** A report will be generated whenever an officer initiates an incident or is dispatched on a call for service. Refer to section 2 of this subparagraph.
 - b. **Field Reporting Forms:** The following forms are those generally used in field reporting by officers of this Department:
 - 1. Incident report;
 - 2. Supplemental Incident report;
 - 3. State form PR 1: Police accident report;

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- c. Field Reporting Information: Each field report form enumerated above has informational blocks that require information. Officers are directed to complete each block of information as completely and accurately as possible. Records prepared in the documentation of police activity shall contain the following minimal information, if accessible:
 - 1. Date and time of initial reporting;
 - 2. Name of victim, complainant, or person requesting service;
 - 3. Nature of incident; and
 - 4. Nature, date, and time of actions taken by officers, if any.
- d. Field Reporting Procedures: The following are procedures to be followed in completing field reports:
 - 1. The "incident report" form may be used as an offense report, an arrest report, complaint report, officer initiated activity or a prosecutor's report. A case/incident number will be assigned to this form. The form will be used to record pertinent information relating to:
 - aa. Investigative action taken on criminal complaints;
 - bb. Persons arrested by officers of this Department;
 - cc. Select motor vehicle violations, including driving while intoxicated (DWI), evading responsibility, no insurance, driver's license suspension and in some instances the form will be required in addition to an accident report (PR 1); and
 - dd. Non-criminal incidents requiring investigation, such as missing persons, suicides, dead bodies, lost/found property, etc.
 - 2. State form PR 1: The state issued "Police Accident Report" will

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be completed in situations where motor vehicle accidents occur on a public highway. Refer to General Order 7-612, Traffic Accident Investigations; paragraph V, subparagraph A,. In some instances this form will be completed in addition to the incident report;

3. For lost/stolen property, an incident report form shall be completed and submitted specifically listing the property reported as lost/ stolen, or found.
- e. Field Reporting Process: The following are procedures for submitting and processing field reports:
 1. Completed Field Reports: All completed reports are submitted to the shift supervisor. The supervisor signs the report indicating approval and secures it in the in box in the roll call room:
 2. Incomplete Reports: Officers are directed to turn in unfinished/incomplete reports to the supervisor. The supervisor will place these reports in the pending file. Once the report is completed the supervisor signs the report indicating approval and puts it in the in box in the patrol roll call room .
 3. Accident Reports: Motor vehicle accident reports (State form PR 1) will be approved by the supervisor and put in the in box in the patrol roll call room.
2. REPORT REQUIREMENTS: Officers will document, by a permanent record, incidents which are alleged to have occurred in this jurisdiction. The documentation of police activity may be accomplished by the completion of an incident report. Incidents in the following categories will be recorded:
 - a. Citizen reports of crime;
 - b. Citizen complaints;
 - c. Citizen requests for services:
 1. When an officer is dispatched;
 2. When an officer is assigned to investigate;

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3. When an officer is assigned to take action at a later time.
 - d. Criminal and non-criminal cases initiated by officers; and
 - e. Incidents involving arrests, citations, or summonses.
 3. COMPLAINT NUMBERING SYSTEM: This Department's incident numbering system requires a number to be assigned by the Communications Unit to all calls for service or officer initiated incidents. The number consists of eight (8) digits. The first two digits are the calendar year and the remaining six (6) digits are in an ascending numerical sequence beginning with 00000001 as complaints or calls for service are received. The system has been designed to ensure the:
 - a. Assignment of a number for every call for service or complaint;
 - b. Assignment of a different number to each call or complaint. No numbers are omitted or duplicated.
 4. SUPERVISORY REVIEW: Every written report submitted by an officer will be reviewed by a supervisor. The reviewing supervisor should be the officers' division supervisor for continuity. The supervisor will review the report for accuracy, completeness, neatness, and legibility. Reports not approved will be returned to the officer for the necessary corrections. Upon approval, indicated by the supervisor's signature, the report will be placed in the proper form receptacle in the patrol roll call room for further processing by Division Commander and Records personnel.
 5. REPORT DISTRIBUTION: Department incident reports, accident reports, and other reports are reviewed and approved by a supervisor and then reviewed by the Patrol Division (PD) Commander. The PD commander then separates and distributes the reports to SSD Records Unit. Records Unit personnel then distribute the reports as follows:
 - a. Incident Reports:
 1. Originals of incident reports will be entered into the master case file;

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2. Second copies of reports will be placed in the Detective Division tray;
 3. Third copies will be kept in a binder in the patrol roll call room. These copies are used by the public information officer (P.I.O.), and are available to all sworn personnel.
- b. Accident Reports: The SSD Records Unit will copy these reports and distribute, upon request, to:
1. Persons who were involved in the accident;
 2. Insurance companies; and
 3. Connecticut Department of Transportation, Accident Division.
- c. Other Reports: The SSD Records Unit will be responsible for the distribution of all other reports to the appropriate persons and agencies.

C. RECORDS:

1. MASTER NAME INDEX FILE: The SSD Records Unit maintains an alphabetical master name index file which includes the names of persons identified in field reports. Also included is information relating to the particular person listed, such as address and date of birth. The case heading and case/incident number is included. A computerized master index file has been created in the Records Unit computer system. Eventually the data contained in the master card index file will be entered into this data base.
2. INDEX FILES:
 - a. Incident Type Index: The computer system records incidents and/or calls for service by type. The type of incident or call for service is established through the codification process of the informational system, which is based on the NIBRS breakdown of offenses. For example; the computer system has the ability to list all burglaries for the months of March and April, if requested.

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- b. Incident Location Index: The computer system records incidents and/or calls for service by data tracking. For example, the computer system has the ability to list all crimes reported in the data tract surrounding a certain elementary school, if requested.
 - c. Stolen, Found, Recovered, and Evidentiary Property Index File: A computerized index of property reported stolen by type, model, and serial number, if available, is maintained by the SSD Records Unit. The designated Property Custodian will record and maintain an index of all property submitted to the Department, including found and recovered property and property held as evidence.
3. TRAFFIC RECORDS SYSTEM: The traffic records contain the locations of all traffic accidents and citations to provide a ready reference for accident/enforcement. This Department has a traffic record system that includes:
- a. Traffic Accident Data:
 - 1. Reports;
 - 2. Investigations;
 - 3. Locations.
 - b. Traffic Enforcement Data:
 - 1. Citations/Arrests;
 - 2. Dispositions;
 - 3. Locations.
 - c. Roadway Hazard Reports;
 - d. Traffic Accident and Enforcement Analysis Reports;
 - e. Other Traffic Reports:
 - 1. Traffic Safety Reports;

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2. Traffic Volume Data Reports; and
3. Traffic Distribution Reports.
4. TRAFFIC CITATION RECORDS: Infractions Bureau citations and misdemeanor summonses shall be maintained as follows:
 - a. Issuing Forms to Officers: All officers shall sign both halves of the receipt for each book. The whole receipt shall be submitted to the SSD Commander, who shall retain one half of the receipt in file. The second half of the receipt is forwarded to the State of Connecticut, Judicial Department, Revenue Accounting Division, for filing. This establishes a dual accounting system for each book of citations;
 - b. Accounting for Citations:
 1. Whenever an infractions citation is issued for a motor vehicle violation, the green Police Department copy is entered into the motor vehicle file;
 2. Whenever a misdemeanor summons is issued, the Department copy of that document is used to establish a criminal history file for the recipient. A copy of this summons is entered into the master case file jacket with the original copy of the corresponding incident report.
 - c. Storing Citations: Infractions Bureau citations and misdemeanor summonses are classified as "strict accountability forms," and are stored under lock and key. Refer to General Order 2-111, Paragraph V, Section G, Subparagraph 2, Section a.
 - d. Cross Referencing: When infractions citations and/ or misdemeanor summonses are issued, the issuing officer will enter the complaint (incident) number on the citation for cross referencing.
5. MASTER CASE FILE EXCEPTION: Most reports generated by officers are maintained in the master case file located in the SSD Records Unit office. Older cases are kept in a storage area. Some records, usually of either a confidential nature or containing such information which renders them more appropriately stored in a specific unit or division, are maintained outside of

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the SSD Records Unit office. These records may include:

- a. Personnel Records: Office of the Chief of Police;
 - b. Training Records: Support Services Division (SSD), refer to General Order 4-331, Training and Career Development; paragraph V, subparagraph A, section 6;
 - c. Intelligence and Special Investigations: Detective Division office. Refer to General Order 6-511, Intelligence; paragraph V, subparagraph B, section 2; and
 - d. Internal Affairs Investigations: The final investigation report and disposition will be filed in the employee's personnel file. Refer to General Order 6-521, Internal Affairs; paragraph V, subparagraph J.
6. CRIMINAL HISTORY FILES: Persons who have been charged with criminal offenses or municipal ordinance violations will be assigned a criminal history identification number by the SSD Records Unit. Prior to the assignment of a criminal history number, the SSD Records Unit shall check the computer system for a prior assignment of a number. If necessary, other measures will be taken to prevent the assignment of a second number to an individual, including fingerprint checks and state and federal records check for previous submission by this Department. There will be no duplications. The criminal history files include the following:
- a. Fingerprint card;
 - b. State and federal criminal history transcripts ("rap sheets");
 - c. Booking Sheet with Photograph;
 - d. Criminal history identification (ID) card, which includes the following information:
 1. Name and aliases, if known;
 2. Date of birth;
 3. Last known address;

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4. Physical description;
 5. Outstanding physical characteristics (marks, scars, tattoos, etc.)
 6. Henry fingerprint classification (if printed);
 7. Social security number;
 8. Place of birth;
 9. Known associates; and
 10. Listing of dates of arrest, case numbers, charges, arresting officer and disposition.
7. ARREST INFORMATION RECORD:
- a. Preparing Reports: All arrests by officers of this Department shall be documented by a report. This report will include circumstances leading to the arrest, surrounding the arrest, and the processing of the subject. The report may be the initial report, or a supplemental or closing report if the arrest is not coincidental to the initial complaint.
 - b. Fingerprinting:
 1. Persons charged with felony criminal offenses shall be transported to police headquarters for formal booking and processing, including fingerprinting;
 2. Persons charged with misdemeanor offenses should also be fingerprinted. Refer to General Order 1-011, Role and Authority; paragraph V, subparagraph G, section 2;
 3. Fingerprints shall be taken of any juvenile taken into custody and charged with a criminal offense.
 4. Fingerprints may be taken in any custodial arrest for motor vehicle violations for identification purposes.

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- c. Photographing:
 - 1. Photographs will be taken in conjunction with the formal booking process;
 - 2. Photographs will be taken for identification purposes in custodial motor vehicle arrest situations or arrests made off-site.

- 8. WARRANT FILE: Signed warrants received by this Department from the court will be examined by the DD Supervisor or by an officer designated by the DD Supervisor, for completeness. Once approved, the warrants will be forwarded to the SSD Records Unit to be logged in. The following are procedures to maintain a warrant and wanted person file:
 - a. Entering Information: Establishing criteria of entering notices in regional, state, and federal information systems:
 - 1. DD officers who have been certified by the State of Connecticut "COLLECT System" are responsible for the entering of wanted persons (warrant) information into the COLLECT/NCIC systems.
 - 2. Applicable COLLECT/NCIC regulations and guidelines will be adhered to when entering information into the systems.

 - b. Receiving Information: Information may be received at any time via telephone or the COLLECT/NCIC systems concerning subjects wanted by this Department or wanted persons information entered by other law enforcement agencies. If the information is received by telephone, a request will be made to the issuing agency that the information also be transmitted by the COLLECT/NCIC systems (teletype) to establish documentation for this information. Establishing criteria for receiving information from other jurisdictions:

 - c. Recording Information:

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1. Information received from other law enforcement agencies pertaining to persons wanted by this Department will be documented in a follow-up report and entered into the initial case in the master case file. The officer who had the preliminary investigation should conduct the follow-up investigation. Teletypes and similar written communication will be attached to these supplemental reports and entered into the initial case in the master case file.
 2. Brief additional information, as it becomes known, may be handwritten on the warrant jacket, such as a new address or present location, etc.
- d. Verifying Information:
1. Whenever information is received that a person wanted by this Department has been located by another agency, the Communications Unit will immediately confirm that the original warrant is still active and in the warrant file. Verification of the wanted person status shall be made via telephone and COLLECT/ NCIC systems in accordance with COLLECT/NCIC guidelines.
 2. Whenever officers of this Department locate a subject wanted by another agency, confirmation of the wanted person status and existence of the warrant will be made prior to taking the subject into custody. An incident/case report will be prepared, headed "Assist", in conjunction with this arrest. The report shall include information concerning the confirmation, including the teletypes received at this Department.
- e. Canceling Information: Wanted persons notices originating from this Department will be canceled only after, as soon as practical, the warrant held by this Department has been executed, or ordered vacated and withdrawn by the court.

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- f. Twenty-Four Hour Access: The warrant file of this Department is maintained in the communications center immediately accessible to authorized personnel on a twenty-four hour basis.

HISTORICAL CHANGES TO POLICY

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Sept. 14, 2010 – Page 3, Section VA1aa&1bb were changed from age14 to any juvenile. Page 9, Section VB5 contains new wording for Report Distribution.