

PROCEDURE MANUAL

13-02



MICHIGAN STATE POLICE

Incident Record Keeping System and Case Supervision

Purpose: This procedure manual provides guidance on the organization of incidents and case files, along with worksite and supervisor responsibilities for case management.

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Definitions:

None

Section 1: Record Keeping System

1.1 Worksite Master File

- a. The worksite Master File shall be isolated from the general work/desk area.
- b. A new file shall be opened on the first of January of each calendar year.
- c. Document number one of a new calendar year shall be placed at the front of this file, with the incident number located on the right margin, turned to the top of the file. Subsequent documents shall be placed one behind the other in ascending incident number order.
- d. Expanding manila folders shall be used to hold incident reports
- e. Only signed property receipt forms showing released or destroyed property such as a Property Receipt, UD-014B and/or an electronic RMS generated property receipt and external documents relating to incident reports and investigations shall be placed in the Master File.
 - i. Signed property receipts shall be filed in sequential order with the external documents, rather than maintained in a separate sub-file.

- ii. External documents shall be marked with the post incident number on the side margin and filed sequentially by year.
 - iii. Electronic incident reports need not be maintained in the Master File.
- f. Documents held in the Master File may be stapled during the local retention period, but all staples shall be removed prior to forwarding the incident reports to the Records Resource Section (RRS) for scanning and long-term storage.
- g. Master File Retention of External Documents for the Current Year

External documents for the current year shall be integrated in the Master File by placing them directly behind other pages having the same incident number.
- h. Master File Retention of Supplemental Pages for Previous Years
 - i. Reports Retained Locally

Worksites shall retain the Master File copies for the current year plus two previous years. External documents shall be integrated into the Master File for the appropriate year, directly behind other pages having the same incident number.
 - ii. Documents Retained by Records Resource Section (RRS)

External documents for all incident reports which are not retained locally shall be submitted directly to RRS.
- i. Retention Period for Master Files

The worksite shall retain signed property receipts and external documents in the Master Files for the current and two previous years. After local retention has expired, the reports shall be forwarded to RRS for scanning as directed by RRS.
- j. Access to Master Files
 - i. The Master File shall be kept locked and isolated from the normal work/desk area.
 - ii. Only the following persons shall be allowed to access the Master Files:
 1. A worksite commander or designee
 2. A bureau, district, or division commander or designee
 3. Personnel of Executive Operations
 4. A person designated by the Director or a Deputy Director

1.2 Work File

The work copies of open and inactive incident reports plus a copy of all other related external forms shall be maintained at the worksite. At the discretion of the worksite commander, these reports shall be kept at the work/desk area. They shall be filed in ascending numerical order or in ascending primary file class order.

- a. Work File Retention of Open and Inactive Incident Reports

- i. Reports of open and inactive investigations shall be maintained by primary file class in ascending order by either file class or numerical order
 - ii. When an initial report is prepared for an investigation that will remain open, the work copy shall be filed in ascending order by either file class or numerical order.
 - iii. As supplementary reports are received, they shall be attached to the initial report, which shall remain in the open file until the investigation is closed.
 - iv. Once all external documents relating to that report are placed in the Master File and all property is disposed of, the closed incident report shall be shredded. Worksites shall not maintain a closed work file for incident reports.
 - v. Reports concerning inactive investigations shall be filed separately from the other open report files.
- b. Work File Retention of Closed Incident Reports
- i. If the report is to remain closed, a supplemental report shall be generated in the electronic RMS showing the report as closed.
 - ii. Incidents reflecting a status of 1-LEIN Validation shall be kept in the major case file.
- c. Work File Retention of Inactive Incident Reports
- i. If an investigation is to be reopened, a supplemental report shall be generated in the electronic RMS reflecting that it has been reopened.
 - ii. If any external documents relating to a reopened report have been submitted to RRS for long term storage, the worksite commander shall contact the Records Resource Section to obtain all the previously submitted documents. All external documents relating to the reopened report shall then be re-filed in the previous year open file.
- d. Access to Work File
- i. Work copies shall not be used to release any information other than closed Traffic Crash Reports, UD-010, except as required under the Freedom of Information Act.
 - ii. Work copies may only be taken from the worksite if permitted by the worksite commander's written policy, or as required by the Freedom of Information Act.

1.3 Property Reports

The Property Report/Receipt generated by the electronic RMS shall be filed in the Master File.

Section 2: Case Supervision

2.1 Purpose of Reviewing Incident Reports

Worksite commanders shall utilize the electronic RMS to review open incident reports at regular intervals to ensure that investigations are being actively pursued and that proper progress is being made. They shall also ensure that shift supervisors provide the necessary investigative guidance to enforcement members

Original incident reports shall be reviewed by a supervisor within five days of submission.

2.2 Reviewing Responsibilities

a. Worksite Level Responsibilities

i. Electronic Incident Book/Case Management

1. Supervisory enforcement members shall use the electronic RMS's electronic incident book or case management, to ensure that open incident reports are reviewed monthly.
2. The electronic incident book/Case Management search replaces the "Roller File" complaint review system. Through the incident book/Case Management, supervisors will identify "open" incidents in need of review by a given date range and/or file class. The incident book, unlike the Roller File, provides a complete listing of all active investigations, enables shift supervisors to ensure that all incident reports are accounted for in the open complaint file, and that those investigations are being actively pursued.
3. Use of the Electronic Incident Book
 - a) Select the Search screen
 - b) Select Incident
 - c) Select "Open" for the status of complaints.
 - d) Select a date range (e.g., 01-01-2014 through 12-31-2014).
 - e) Select the incidents to be viewed by file class.
 - f) Select "Include Supps"
 - g) Select "Search"
4. Supervisor Screens
 - a) Case Management Screens

Reviewers shall note the number of complaints awaiting review, as well as the date of the complaint.
5. In-Progress Screen
 - a) Reviewers shall note the number of investigations that are in-progress, as well as the original date of each complaint. Supervisory enforcement members shall follow up with the investigating enforcement member on any complaints not submitted timely.
 - b) A report appears in the In-Progress screen when a complaint number has been assigned and information has been entered, but the report has not been marked "Ready-for-Review" or "Submitted" by the investigator.

ii. Detective Reviews

1. Incidents with a file class less than 2500, excluding 23001-23007, and other significant incidents shall be reviewed/supervised within 20-days of origination by a post detective or post commander in the absence of a post detective. After the initial review by a supervisor, an incident report shall not remain open for more than 30-days between subsequent reviews.

All RMS users will complete their detective reviews and approvals through the Detective Review screen within the Case Management segment.

- a) A record of these actions and comments or recommendations shall be made on the Case Supervision Sheet, UD-074 or on an incident journal in the electronic RMS.
- b) Supplemental reports shall be reviewed within five days of submission by a supervisory enforcement member.
- c) The remark "Reviewed" is not sufficient. Necessary action taken to bring the investigation to a successful conclusion shall be noted on the Case Supervision Sheet or on the electronic Incident Journal for all RMS users.

b. Assistant District Commander Responsibilities

Assistant district commanders shall use the electronic RMS Incident Book to review reports to determine the competency of the investigations conducted and the completeness of the information submitted.

2.3 Duties of Supervisory Enforcement Members

Supervisory enforcement members of incident reports shall perform the following duties:

- a. Determine if an investigation was handled and reports submitted in accordance with established policy.
- b. Determine if an arrest was made or property was seized in accordance with the law and established policy.
- c. Advise the worksite commander of any investigation where there appears to be a need for Headquarters direction or guidance and reports of important events, serious crime, or unusual conditions.
- d. Review the incident report for proper grammar, spelling, and file class within five days of submission.
- e. Advise the appropriate worksite commander if any investigation appears to merit consideration by the Board of Awards.
- f. Case Supervision Sheets, UD-074 and UD-074A or the electronic Incident Journal shall be used for eAICS users.
 - i. Before filing an open incident report in the work file, the worksite commander or their designee shall ensure that the report has been reviewed and a Case Supervision Sheet, UD-074, has been completed and attached to the front of the first work copy of the

incident report. First entry on the electronic incident journal will show initial review of the incident report.

- ii. If the incident report involves open property, the UD-074A shall be used until the property has been disposed of.
- iii. The reviewing enforcement member shall make an entry on the Case Supervision Sheet, UD-074 or the electronic incident journal, indicating they have reviewed the report and shall note any errors or additional action to be taken.
- iv. Additional non-statistical information such as court action or rechecks on the suspects or the complainants may be recorded on the Case Supervision Sheet rather than on a supplementary report. All incident journals entered within the RMS will merge to the next pulled supplement narrative under the heading of Journal.
- v. When an incident is declared inactive or closed, or when a supplementary report is prepared, all prior information pertaining to the investigation, excluding comments that are strictly supervisory and administrative, shall be reported on the Case Supervision Sheet under the paragraph heading "JOURNAL." All incident journals entered within the RMS will merge to the next pulled supplement narrative under the heading of Journal.

2.4 Supplementary Reports

- a. A supplementary report shall be submitted on every open incident at least once every six months.
- b. A supplementary report is not required on an inactive investigation until it is reactivated.
- c. When the information has been included on a supplementary report and the incident remains open, the Case Supervision Sheet shall be discarded and replaced with a new sheet. All electronic incident journals entered will be available through an incident journal report.

Section 3: Status of Incidents

3.1 Closing Criminal Investigations

- a. It is preferable to keep unsolved incidents open, but when it is obvious to the worksite commander that all possible investigative leads have been exhausted, an incident may be closed without an arrest or recovery of property.
 - i. Before closing an incident, the complainant/victim shall be re-contacted by the investigating enforcement member and advised the incident is being closed. A notation shall be included on the closing incident report indicating that this contact has been made.
 - ii. Property held on an unsolved incident shall be disposed of in accordance with Official Orders on property disposition prior to closing the incident.
 - iii. Checks, confessions, drawings, recordings, and other written material or electronic media which are part of the work file and have not been included in the Master File shall be considered for inclusion in the Master File before closing an unsolved incident.
- b. When a criminal incident is solved by the arrest of the perpetrator, the report may be closed by using the following guidelines:

i. Property Involved

1. Property held on an incident shall be disposed of in accordance with written directives on property disposition prior to closing the incident:
 - a) For misdemeanor cases, the worksite commander and local prosecutor may establish a local property retention policy.
 - b) For felony cases, property shall remain open until expiration of the appeal period.
2. Checks, confessions, drawings, recordings, and other written material or electronic media which are part of the work file and have not been included in the Master File shall be considered for inclusion in the Master File before closing the incident.

ii. Juvenile Offenders

Policy for handling juvenile offenders is found in written directives on apprehending juveniles. Information concerning the status of juvenile offenders shall be recorded in the "Person" segment of the electronic RMS.

iii. Adult Offenders

Incident reports involving adult offenders may be closed when:

1. The offender has been arrested and the arrest properly recorded.
 2. The court has set a bond, but the offender has not been released; or,
 3. The offender has been arraigned, by either department personnel or the lodging facility; and,
 4. No further investigation is necessary and only court testimony remains.
 5. When the suspect is lodged for OWI by enforcement members, and the lodging facility agrees to and regularly does arraign such prisoners, the worksite commander may authorize such incident reports to be closed once the arrestee is lodged.
- iv. In closing an incident report, a narrative description of the court which will adjudicate the case shall be included (e.g., "To be adjudicated by the 55th District Court," "To be prosecuted in Isabella County Circuit Court," etc.).

3.2 Placing an Investigation on Inactive Status

- a. There are instances when an investigation has reached a point where nothing further can be accomplished until additional information is obtained. This type of incident may be placed on inactive status to distinguish it from those closed and those currently being investigated. Complaints with property being held at long term storage may also be placed on inactive status.
- b. In instances where a warrant has been previously entered into the LEIN or National Crime Information Center (NCIC) system without an apprehension, commanders may place the incident on inactive status.
- c. The following procedure shall be adhered to:

- i. A worksite commander or assistant commander shall provide authorization prior to a complaint being approved for inactive status. This authorization shall be documented in the electronic RMS report. This can be achieved by the commander or assistant commander conducting the electronic review of the inactive supplemental report in the electronic RMS or by providing a signature on a work copy of the supplemental report.
- ii. Incidents declared to be inactive shall be identified by attaching an Inactive Case Slip, UD-028, to the work copy of the report and by filing such inactive cases in the inactive work file.
- iii. The worksite commander shall cause each inactive report to be reviewed at least every six months. Such review shall be noted on the Case Supervision Sheet, UD074 or UD-074A or the electronic incident journal.

3.3 Reactivation of Inactive and Closed Incident Reports

- a. To reactivate an incident report that has been declared inactive, a supplementary report shall be submitted with the word "Reactivated" inserted as the first item under the "Nature of Incident" within the narrative of the report.
- b. To reopen an incident report that has been closed, a supplementary report shall be submitted and the word "Reopened" inserted as the first item under the "Nature of Incident" within the narrative of the report. An incident report may be reopened and closed on the same supplementary report.
- c. To reactivate inactive or closed incidents, place a "0" in the incident status block to indicate the report has been reopened and will remain open. A proper closing code shall be entered in the incident status block to reactivate and close an incident on the same supplementary report.
- d. When the home post serves a bench warrant on a closed incident, a supplementary report shall be submitted.

3.4 Property/Warrants in LEIN/NCIC

- a. Property in LEIN/NCIC

Under certain circumstances, it is permissible to close reports that have property pending in LEIN/NCIC. These closures do not relieve worksite commanders from their LEIN/NCIC validation responsibilities. To ensure the incident reports are available for the validation process, these procedures shall be followed:

- i. Incident reports involving stolen or missing vehicles, vehicle parts, license plates, boats, guns, or securities shall be entered in the LEIN/NCIC files, regardless of the dollar value of the property.
- ii. Serial-numbered items are not subject to the LEIN validation process and are retained in LEIN for the current year, plus one. Other items, such as vehicles, boats, etc., are subject to the LEIN validation process and are maintained in the system for the current year, plus four. Guns are retained in NCIC until cancelled by the entering agency.
- iii. Incident reports in LEIN/NCIC involving lost or stolen license plates or serialized articles (excluding guns) may be closed any time after the first monthly review at the discretion

of the worksite commander. However, the LEIN/NCIC record shall not be canceled until the items are recovered.

- iv. Incident reports that list property that is subject to the LEIN/NCIC validation process shall remain open for a period of at least 30 days or until after the first monthly review. If after 30 days the property is still outstanding and investigative leads are exhausted, the status of the report shall be coded in the electronic RMS with a status of "1-LEIN Validation" indicating that the incident is open for: "LEIN Validation Only." However, the LEIN/NCIC record shall not be canceled until property is recovered.
- v. Case review of these reports shall be made only at the time of validation.
- vi. When the property is purged/canceled from LEIN/NCIC, the reports generated by the electronic RMS shall be closed and shredded. A supplementary report is not required. The report status must be updated in the RMS to reflect a status of closed.
- vii. Supplementary reports shall only be required when property is recovered, or a suspect is arrested.

b. Warrants/Missing Persons in LEIN/NCIC

The incident report shall remain open or on inactive status until the LEIN/NCIC record is removed from the system.

c. Validation of Property and Warrants in LEIN/NCIC

Each worksite with property/warrants entered in LEIN/NCIC shall validate their records as prescribed in the LEIN Operations Manual.

3.5 Major Case File

- a. To ensure the retention and availability of closed incident reports to which reference will be made in the future, worksites shall establish a major case file using the copy of the incident report. The major case file shall be maintained as a sub file of the file to ensure retention of closed reports that fall in the following categories:

- i. When there is property entered in LEIN or NCIC and the record must be validated, as indicated by status code "1-LEIN Validation" on the incident report.
- ii. At the worksite commander's discretion, when there is an incident of continuing interest, such as a major homicide, to which reference may be necessary in the future.

b. Case Supervision

The Major Case Supervision Sheet, UD-074B, shall be attached to the front of the work copy of the incident report to identify it as a closed major case. Incident reports in the major case file shall be case supervised as deemed necessary by the worksite commander and as follows:

- i. When there is property in LEIN/NCIC, reports shall be case supervised according to the validation schedule.

c. Supplementary Reports

A supplementary report is required when property is recovered, a suspect is arrested, or the worksite commander requires such a report. Supplementary report copies shall be submitted in accordance with this written directive.

d. Final Disposition

- i. Reports shall be retained in the major case file until the final disposition of property or the expiration of the LEIN validation period. Other reports shall be retained in the major case file at the discretion of the work site commander.
- ii. Upon final disposition, these reports shall be filed in the closed file or discarded if the local retention period has expired.

Review Responsibility:	Criminal Justice Information Center; Transparency and Accountability Division
Accreditation Standards:	NA