NC State University Police Department

Policy and Procedure

704 – Records

Approved: April 20, 2026

Replaces Policy 704 Dated: 01/30/2025

*All revisions are in **BOLD** print.*

PURPOSE: The purpose of this directive is to establish operating procedures for ensuring the privacy, security, and maintenance of the Department's law enforcement records.

The North Carolina State University Police Department maintains an automated records management system that provides links to police dispatching, law enforcement field reporting, police records, evidence/property control, and investigative case management. All records, both automated and physical, are maintained in accordance with public records laws as well as guidelines relating to Uniform Crime Reporting.

POLICY: It is the policy of this Department that a formalized system of records management be established which provides for the privacy and security of its law enforcement records, their maintenance in a manner which facilitates ease of use and analysis, and which complies with all the provisions of law governing public records.

DEFINTION:

None

PROCEDURE:

A. Records **Custodian** Responsibility

1. **Records Custodian**, herein after referred to as the "**Custodian**", is established within the Department and is the central component for criminal records, non-criminal records, and records control.

   a. The **Custodian** is responsible for retention, maintenance, and dissemination of police records produced by the Department.

   b. All reports are submitted electronically after being reviewed for accuracy and completeness, to the **Custodian**. The **Custodian** is responsible for verification of case numbers assigned by the Computer Aided Dispatch system against reports received (unused case numbers are voided), coding, disseminating criminal and non-criminal reports, and computerized entry of documentation. From these activities, statistical information for the National Incident Based Reporting System (NIBRS) and monthly reports is recorded.

   c. The **Custodian** shall maintain a centralized, automated (computerized) records system for information retrieval and collation for inter-agency and outside agency activities, i.e., offense/incident files, arrest reports, accident reports, and citations.

   d. Computerized copies of criminal and non-criminal reports and arrest reports are filed by sequential year and case number and are maintained in computerized format. Traffic accident reports from 2003 to present are in digital format in the RMS System. All accident reports prior to 2003 have been purged per the retention and disposition schedule.

   e. Original reports from prior years, not purged by the retention schedule, are filed sequentially by year and case number and are maintained either in the computerized files (1993 to present) or microfiche (earlier than 1993).

   f. All reports and records are maintained according to departmental standards and state law in order to provide security and authorized access.

   g. Records will be maintained consistent with state law.

2. **Training**

Appropriate training in the area of records management and retention shall be provided to any employee that is assigned as a Records Custodian.

3. Administrative **Captain** shall be responsible for the direction and control of the Records function.
4. The Administrative **Captain** shall be charged with the responsibility of directing all functions regarding records information and management.

B. **Records Custodian** Function

1. It is the function of the **Custodian** to serve as a support division in the maintenance of all police reports including case file records, and other duties assigned by the Administrative **Captain**.
2. The **Custodian** shall assist in providing citizen information, records duplication and release pending, if applicable, the approval of the Chief of Police or their designee.
3. Case report numbers are issued when a written report code is generated via the CAD.
4. Other functions of the **Custodian** shall include, but not be limited to, the following activities:
    a. Maintain, provide or make available to police officers and specified personnel: incident reports, supplementary reports, traffic crash reports, arrest reports, property reports, and miscellaneous reports.
    b. Provide to the general public copies of reports designated as public information by North Carolina General Statute Chapter 132.
    c. Ensure that all court-ordered expungements and sealed records are in compliance.
    d. Other functions as assigned by the Administrative **Captain,** the Chief of Police or their designee.

C. Privacy, Security, and **Retention of** Records

1. General:
    a. **All employees of the police department shall comply with applicable retention laws for privacy, security and the retention of records.**
    b. Agency records are stored in the Records Room located in the administrative suite of Police Headquarters and are accessible by key only. Passwords are used to access the computer system and access to different modules is restricted to specific individuals.
2. Juvenile Records: Juvenile criminal records shall be maintained separately from adult criminal records. (NCGS 7B-3001)
    a. All juvenile records, including incident reports and identification records (physical or automated name file records, photographs, fingerprints) shall be withheld from public inspection and are not public records. These records will be handled in accordance with NCGS 7B-2102 and 7B-2108 flagged as juvenile records within the RMS computer system.
    b. Only personnel with RMS access have access rights to electronic juvenile case records. Only those with a need to know will access juvenile records.
    c. Hard copy information concerning juvenile cases will be stored in a separate and locked file cabinet and maintained in the secured Police Files Room located in the Admin Area.
3. Disposition of Juvenile Records after Reaching Adult Age

a. When a juvenile reaches the age of 18, they may seek to have their case expunged pursuant to the requirements of North Carolina General Statute 7B-3200. If his or her case is expunged, the case file will be removed. When a juvenile reaches the age of 18 and the court does not expunge his or her records, the file will remain in the juvenile case file cabinet.

b. The expunction of juvenile records will be performed upon receipt of a certified court order and in accordance with NCGS 7B-3200.

4. Employee Access to Records

a. Records information is accessible to operations personnel on a 24-hour basis.

1) During normal business hours, routine requests for records and copies of reports will be made by the **Custodian** or other approved person. The records room is accessible Monday-Friday, 0800-1700 hours, excluding holidays.

2) Computerized records are available to all members on a 24-hour basis through their supervisors. The **Custodian**, with approval of the Chief of Police or their designee, is the only employee authorized to add, delete, or change information in the various automated records management files. The **Custodian** is allowed to make changes to comply with Incident Base Reporting (IBASE) requirements.

b. During normal business hours, access to the Records Section is restricted to those employees assigned to work in the Records area, and to authorized employees who need access to conduct business.

5. Public Access to Records: See General Order 700-3, Report Release Procedures.

6. Release and Review of Records

a. See General Order 700-3, Report Release Procedures.

b. All requests for release of records to the media shall be coordinated by the Chief of Police or the Administrative **Captain**

c.

d. with the assistance of the **Custodian**.

e. Any employee allowing the visual review of any records will ensure compliance with appropriate law governing the right to privacy and public records access.

D. Incident Base Reporting (IBASE): The **Custodian** shall collect and submit crime data to the State Bureau of Investigation reporting program in accordance with the procedures set forth by the State Bureau of Investigation.

E. Master File Indexes: Reports and Computer Aided Dispatch information may be retrieved by geographic area, type of incident, span of dates, or by name. This is achieved through automated indexing by the Department's Record Management System (RMS).

1. Service Calls and Crimes by Location: This file is an automated feature of the CAD system and may be used by any authorized employee.

2. Service Calls and Crimes by Type: This file is an automated feature of the CAD system and may be used by any authorized employee.

3. Master Name Index: The master name index is a file that includes the names of **people** identified in field reports. The Department maintains a manual (for records prior to 1993) and an automated name index, which can be accessed alphabetically, and serves as a cross-reference to documents in which a person has been named.

a. Criteria for inclusion of names in the master name index is based on legal requirements and Department needs

b. Names placed into the master name index shall be as follows:

1) Victims of crimes.

2) Suspects.

3) Persons arrested.

4) Persons trespassed

5) Persons issued traffic citations.

6) Persons involved in motor vehicle accidents, **including** drivers, registered owners of the vehicles (business only) and/or property, and victims.

7) Complainants.

8) Witnesses.

c. Each business or person's name, along with associated **aliases**, is created as an individual record. Retrieval of information is performed by entering a business, person, or alias name, or by case number. This record will display the case number, type of incident, and nature of contact with the Department.

d. Names of juveniles maintained in automated name file records shall display a prominent message indicating a juvenile record. Juvenile records are distinguished by a red banner and have the word “Juvenile” indicating the content of the record.

4. Property Files: This Department will maintain an index of stolen, recovered, and evidentiary property within the Records Management System. Found property is recorded in the Department’s RMS system. The index record will contain, at a minimum, the type of property involved, serial number (if available), and a brief description. The automated property files will be maintained by the **Custodian** and can be accessed in the following ways:

a. Stolen property - by case number, type of property, type of offense, serial number, and reporting date.

b. Recovered property - by case number, type of property, serial number, and type of offense.

F. Traffic Records System.

1. Traffic accident reports from 2003 to present are in digital format in the RMS system. All accident reports prior to 2003 have been purged per the retention and disposition schedule. Crash reports are maintained, and manual analysis of reports, investigations, and locations is possible via RMS and/or NC DMV.

2. The Department maintains traffic enforcement data as part of the Records Management System. Traffic enforcement data shall include:

a. Report number.

b. Uniform Traffic Citation number.

c. Issue date and time.

d. Name, race, sex, date of birth, and address of defendant.

e. Driver license number.

f. Vehicle registration number.

g. Location of offense.

h. Type of offense.

i. Issuing officer.

j. Arrest information.

k. Traffic enforcement data shall be entered into the RMS by the **Custodian** using information provided by officers in Uniform Citations or via import from the Administrative Office of the Courts (AOC).

3. Reports produced from information contained in the traffic records section of the RMS are generated either pre-formatted or ad-hoc. From these reports management will have the ability to analyze traffic enforcement activity.

4. Traffic Hazards are recorded by officers in Computer Aided Dispatch and may be searched with that software for analysis.

G. Control of Traffic Citation Records: This agency shall receive from the Clerk of Court appropriate Uniform Citations.

1. The Uniform Citations will be ordered by the **Custodian** who is responsible for the control of citations. Once the **Custodian** receives the citation books from the Clerk of Court, they will place and store the citation books in a secure cabinet located in the patrol section. Each Uniform Citation will be accounted for by the citation number. A log shall be maintained of all number sequences and to personnel the citations were issued. Upon issuing a Uniform Citation booklet to personnel, all citations shall be verified and accounted for by receipt and return the original to the issuing official.

2. The same procedure shall be applicable to ABC Law Citations.

3. Each sworn officer is issued an AOC account upon hiring. Upon accessing the AOC module through a secure login, AOC authorizes an officer to issue a certain number of citations.

   a. If an officer issues all **of their** allotted electronic citations, the officer may initiate a request for a further allotment of citation numbers. The charging officer prints off a copy for the defendant and transmits the citation through a **secure** connection to AOC and NCSU Police Records where they are maintained and may be audited.

   b. If a citation needs to be voided, the officer voids the citation using the built-in function which documents the reason for the action. Hardcopies of citations are not needed for department or AOC records, but may be printed for the officer's reference in court proceedings

4. Police Officers shall be solely accountable for all Uniform Citations issued to them. Electronic citations are the preferred method for issuing and documenting violations. Hardcopy citations may be used when technical issues prevent issuing an electronic citation, or when access to an electronic citation is unfeasible. A Magistrate's Order is required for DWIs, and for DWLR if officers are physically arresting the individual and taking them before a magistrate.

   a. If a citation is incorrectly completed while writing it or is not completed for any reason, mark "void" across the citation. All four copies of the voided citation will remain in the citation book for audit purposes.

   b. If a citation(s) is lost / stolen, the officer shall write an incident report stating the reasons why the citation(s) were lost/stolen and forward, via report processing channels, to the **Custodian**.

   c. If an entire book of citations or any part of it is rendered unusable in any way, it shall be immediately turned into the supervisor responsible for maintaining and control of citation books.

   d. Upon termination of employment, an officer shall personally forward all unused citations to the supervisor responsible for the control of citations.

5. Every police officer, upon issuing a citation to an alleged violator of any provision of the law of this state shall:

   a. Transmit all electronic citations pending in the system. Any hard copies will be delivered to the Magistrate's Office prior to the end of the following night shift.

b. Issue the violator the pink copy.

c. Turn the **officer's** copy into the **Custodian**. The **Custodian** will enter the citation information into the Records Management System. The **Custodian** will return the Officer Copy to the officer.

d. Leave the yellow copy in the citation book for audit purposes.

6. The **Custodian** will conduct annual audits of citation books to ensure accountability. A report **on** the audit will be forwarded to the Administrative **Captain** and the Accreditation Manager.

7. Under no circumstances shall an employee of this Department change, alter, or void a traffic citation other than the officer that signed the citation.

H. Photographs: Photograph shall be taken of all persons physically arrested. The photograph will be taken and maintained by the Wake County Bureau of Forensic Services (WCBFS).

1. Photographs of juveniles are maintained separately and secure from those of adults.

2. Photographs taken for intelligence and criminal investigative purposes are confidential records and are not available for public release.

3. When available, attach a picture of the defendant / suspect to the master name index section of RMS through the Mugshot field, and select "F10" to update the master name record.

I. Fingerprinting

1. Personnel at the respective detention facility shall perform fingerprinting of all persons physically arrested.

2. This Department has no provisions for storing fingerprint cards of arrested persons. The WCBFS is the primary repository for fingerprints of subjects arrested by University Police.

J. Criminal History Files

1. The Department's Records Management System stores files documenting arrests that involving this agency's officers within our jurisdiction.

2. The department does not maintain criminal history files on individuals arrested. WCBFS maintains a criminal history file on people arrested by the University Police Department. The file includes:

a. Fingerprint card

b. Photographs

c. Arrest reports and records

3. Department officers will document arrests on the Arrest Report and will receive a unique report number for the case. See the Report Writing Guide. All documents maintained by the department related to this case will be referred to this number.

4. The name of the arrestee is entered into the Department's automated master name file. When the arrestee's name is queried, any occurrence of arrest is listed.

5. Criminal History Transcripts

a. State and federal criminal history transcripts may be obtained through the National Crime Information Center (NCIC) and the Criminal Information and Identification Section (CIIS).

b. A criminal history may be requested for the purposes of criminal investigation and criminal justice employment background checks.

c. Personnel are required to request the information from an on-duty Emergency Communications Officer or the **Custodian** and personally receive any printed copy. A request form will be completed and then submitted to the ECO to fill the request. Investigators that have the appropriate clearance may run checks.

d. Each request for a criminal history is automatically logged to provide accountability to the dissemination process The **Custodian** will print and reconcile the log of criminal history requests monthly as required by CIIS.

e. Criminal histories are not public information.

f. Employees who receive the transcripts will ensure the security of the document and will shred it when the document is no longer needed.

K. Warrant/Wanted Person Records

1. The department participates in the North Carolina Criminal Information and Identification Section (CIIS). (DCI) system and the National Crime Information Center (NCIC) that maintain computerized wanted person files. The department will adhere to NCIC/CIIS procedures for entering, receiving, and canceling information on wanted persons as found in the online manual, accessed through the CIIS Terminal in the Communications Center.

a. When an offense is extraditable, the officer must obtain a completed extradition approval form from the District Attorney's Office. Otherwise, the record will be marked non-extraditable.

b. An Emergency Communications Officer will enter warrant information into CIIS. The NCIC/CIIS entry form will be turned into and maintained by the **Custodian**. A copy will be kept in the case file. The extradition approval form, if there is any, will be maintained in the case file.

c. All information concerning an officer swearing out a warrant will be documented on the appropriate departmental form. The person to be charged will be listed as a suspect; the Master Name Search will reference this filed and link related information.

d. Procedures for the processing and storage of Warrants are provided in General Order 400-1.

e. Warrants, Magistrate Orders, or Summons that are served will be documented on the appropriate report filed in RMS. Officers that are returning a warrant that is recalled or that are returned unserved to another agency will ensure that the respective criminal report is updated to reflect the status change.

f. Warrant information is accessible twenty-four hours a day through the AOC database.

g. Necessary information regarding warrants/wanted people will be distributed exclusively to pertinent agency personnel.

L. Records Maintained in Operational Areas

1. Criminal investigative records shall be maintained by the Criminal Investigations Division and shall consist of the following categories:

a. Informant files

b. Working copies of active case files

c. Criminal intelligence and Syndicated information files

2. Quartermaster and Evidence Custodian records shall be maintained by the Department's Quartermaster and shall consist of the following:

a. Evidence, found, and recovered property files (Stored in the Evidence Module of RMS or in the Evidence and Property Room)

b. Uniform and equipment files

3. Crime Prevention Supervisor activity records consisting of the following categories:
   a. Crime prevention programming files
   b. Campus security surveys files
   c. Wolf Guard ID files (also stored digitally in RMS)
   d. Community Engagement Unit reports (on the shared Google Drive)
4. The Special Event Coordinator shall maintain activity records consisting of the following categories:
   a. Special Event staffing files (in cloud-based scheduling software)
   b. Special Operation Plans (on the shared Google Drive)
   c. Explosive Detection K9 Unit Reports (on shared Google Drive)
   d. Therapy K9 Reports (on the shared Google Drive)
5. Career Development Officer shall maintain activity records consisting of the following categories:
   a. Sworn officer training files
   b. Sworn officer training course files
   c. Candidates applying for sworn employment with the department
6. The Emergency Communications Supervisor shall maintain activity records consisting of the following categories:
   a. Emergency Communications Officer (ECO) training files
   b. ECO training course files
   c. Communications Training Officer files
   d. Candidates applying for employment with the ECC.
7. Uniform patrol activity records shall be maintained by the Field Operations **Captain** and shall consist of the following categories:
   a. Patrol shift staffing and deployment files (on the shared Google Drive)
   b. Patrol Plans (on the shared Google Drive)
   c. Patrol Directives (on the shared Google Drive)
8. Administrative Assistant to the Chief shall be responsible for the maintenance of:
   a. Agency administrative correspondence and general administrative files.
   b. Employee medical files consisting of all records pertaining to employee physical and psychological fitness examinations. All medical files shall be maintained in a locked file cabinet. Access to the medical files shall be restricted to those people legally entitled to review such records.
   c. Mutual Aid Agreements
   d. Non-ECC civilian hiring and training records
9. The Internal Affairs Manager shall maintain activity records consisting of the following categories:
   a. Citizen complaints and internal investigation files
   b. Personnel Early Warning System files
10. The Professional Standards Manager will maintain all records consisting of the following categories:

a. Accreditation files

11. The Motor Fleet Manager will maintain all records pertaining to the following categories:

    a. Maintenance of records relating to vehicle maintenance and Department vehicle inventory

12. The Administrative **Captain** will maintain all records pertaining to the following categories:

    a. Planning and research files (i.e. Workload Assessment)

    b. Staff Inspections

    c. Vehicle Replacement Plans

13. The Human Resources Coordinator shall be responsible for the maintenance of records relating to personnel and payroll for department employees.

    a. An employee's University Human Resources personnel file is deemed a public record pursuant to the provisions of North Carolina law. University Human Resources personnel records and files are considered to be open for a personal inspection by any person provided that such review is conducted in the physical presence of University Human Resources personnel, or designee, during regular business hours with reasonable notice. Information will be released in accordance with North Carolina State University policy and state law (https://generalcounsel.ncsu.edu/records-faq/).

    b. An employee's Department personnel file is stored at the NCSU Police Department. Whenever a Department personnel file is inspected or removed, the following information shall be logged into the Personnel File Inspection Log: name/signature of requestor, name of personnel file inspected, reason for inspection, date inspected/removed, and date file returned.

    c. Duplication of any item contained in a Department personnel file shall be under the direction of the Human Resources Coordinator or their designee.

    d. Only the Chief of Police, or those authorized by the Chief of Police, may remove a personnel file from the area in which it is ordinarily kept.

    e. Written authorization shall be obtained from the Chief of Police before permanently removing any page or item from any personnel file.

    f. Personnel files will be open for inspection Monday through Friday between 0800 hours and 1700 hours. Files shall be locked at all other times.

    g. All employees' home address, telephone number, and children's school shall not be released to anyone not employed by the Department.

    h. The Human Resources Coordinator in Environmental Health and Public Safety shall be responsible for the maintenance of records relating to purchasing and special event billing.

    i. The **Custodian** shall be responsible for the security of all files residing on the local area network server.

    j. The Environmental Health and Safety Business Officer shall maintain activity records consisting of the following categories:

        1) Agency budget files

        2) Archive files

APPROVED:

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